FINANCIAL MANAGER

User Guide

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Part One

Introduction

Welcome to Financial Manager

What is Financial Manager?

Financial Manager is the USPTO's new fee payment management tool. Financial Manager allows you to do more business with the USPTO online, making it faster and easier for you to access the services and information you need to protect your intellectual property.

As a Financial Manager user, you can:

- Store and manage electronic payment methods, including credit/debit cards, deposit accounts, and electronic funds transfers (EFTs)
- Submit online payments to the USPTO without having to enter payment information for each transaction
- Assign user permissions, allowing other Financial Manager users to access, use, and/or manage your stored payment methods
- Search administrative history and generate transaction reports for your stored payment methods
- Receive administrative notifications to help you manage your stored payment methods

You can now **keep track of transactions** you've completed with the USPTO and **quickly submit payments** with just a few clicks. Moreover, the new user permissions feature gives you even **more security** and removes the burden of uncertainty – you'll always know who did what, when.

Why this change?
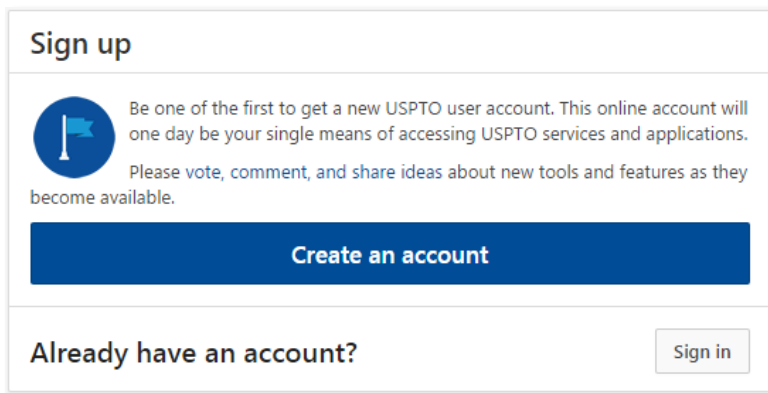
The USPTO is committed to providing you with the highest quality service and is consistently working to enhance the customer experience. As today's commerce becomes increasingly digital, we want to make sure that you have access to modern e-commerce tools when you do business with us.

Getting Started with Financial Manager

Create your USPTO.gov Account
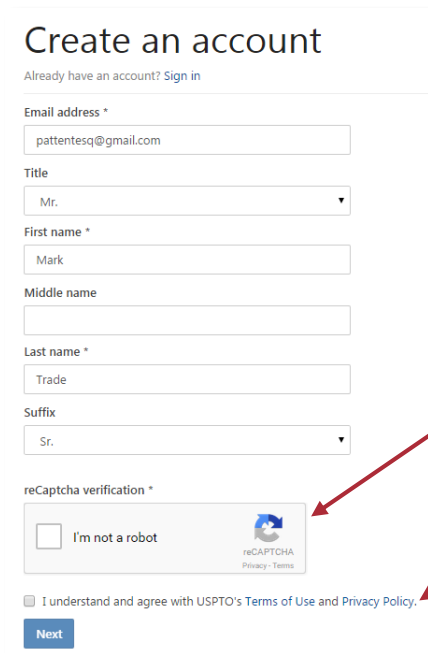
To access Financial Manager, you will need to create a uspto.gov account. Your uspto.gov account will one day be your primary means of accessing USPTO services and applications online. After creating your uspto.gov account, you will be ready to access special features and online tools, like Financial Manager, as they become available.

1 Navigate to the uspto.gov account welcome page: https://my.uspto.gov.

2 On the uspto.gov account welcompage, select the [Create an account] button.

3 Complete the Create an account form by entering your email address and full name. You'll also need to complete the reCaptcha verification and check the box indicating that you understand and agree to the USPTO's Terms of Use and Privacy Policy.

To complete the Create an account form, the following information is **required** (*):
- Email address
- First name
- Last Name

Check the reCaptcha verification box and complete the activity described to indicate that you are not a robot.

You'll also need to check the box agreeing to the USPTO's Terms of Use and Privacy Policy.

4 Check your email and follow the link provided to navigate to the Activate your account form.

Check your email

An email was sent to you at **Pattentesq.fpng@gmail.com**. Follow the instructions to activate your account.

To keep your account secure, the activation link expires in **48 hours.**

5 Complete the Activate your account form, creating a new password and three security questions for your account.

Activate your account

Create password

Enter your new password *

Retype your new password *

Password requirements

☑ Minimum of 12 characters

☑ 1 Uppercase and 1 lowercase letter

☑ 1 Number and 1 special character
("!@#$%^&*()_+-={}|[]\;':"<>?,./)

Create security questions
These questions help us verify your identity.

How many bedrooms does your house/apartment ha ▼	5
What is the city/town where you were born? ▼	Patent City
What is your all-time favorite sports team? ▼	The Patent City Inventors

Activate your account

> Your password must meet the following requirements:
> - Minimum of 12 characters
> - 1 uppercase and 1 lowercase letter
> - 1 number and 1 special character
>
> This checklist will automatically update as your password meets each requirement.

6 Select the Activate your account button to complete the account activation process and return to the uspto.gov account Sign in page.

The new USPTO.gov Account

Explore our new account features and give us feedback. This account will one day be your single means of accessing USPTO services and applications.

101 107 105 111 103 109 112 115 113 117

Sign in

Email address or username *

Password *

☐ Remember me

Sign in

Forgot password?   Create an account

Sign in to Financial Manager

1 Navigate to the Financial Manager homepage: https://fees.uspto.gov/FinancialManager

2 Complete the Sign in form, entering the email address and password associated with your uspto.gov account.

3 Select the [Sign in] button. This will take you to the My Payment Methods page.

Key Terms

Administrative History

Administrative history documents manual changes that have been made to your stored payment methods by an Administrator and automated changes recorded by the Financial Manager system. Examples include changes to user permissions, payment method status (e.g. active, inactive, etc.), and payment method details (e.g. correspondence address, nickname, etc.).

Deposit Account

Deposit accounts are pre-paid fund reserves that customers can establish with the USPTO, which eliminate the need to submit a check, credit/debit card, or other payment information each time a fee payment is required. Furthermore, in an instance of miscalculation of a fee due, the balance required may be charged to the deposit account to preserve the date of filing, if a general authorization or fee preauthorization is established against the deposit account.

Deposit Account Access Code

The deposit account access code is a four digit code required by some USPTO storefronts to make a payment using the deposit account. The deposit account access code is shared by all Fee Payers of the deposit account. Once all USPTO storefronts are fully integrated into the new payment process, the deposit account access code will be retired.

Deposit Account Authorization Code

The deposit account authorization code is a unique password credential that allows customers who have not yet stored their deposit account in Financial Manager to maintain the deposit account authorized user list. Once you've migrated your existing deposit account to Financial Manager, the authorization code becomes obsolete.

EFT

An electronic funds transfer (EFT) is a payment method that electronically transfers funds from a U.S. financial institution to the USPTO.

EFT Profile Name and Password

An EFT Profile is a unique user name and password combination required by some USPTO storefronts to make a payment using an EFT. Each Fee Payer will have a unique EFT profile name and password. Once all USPTO storefronts are fully integrated into the new payment process, the EFT profile name and password will be retired.

General Authorization

A general authorization, also known as a fee preauthorization, is a blanket approval that you may give the USPTO to charge your deposit account for specific Patent or Trademark fee deficiencies or underpayments.

Nickname

A nickname is an alternate name an Administrator may assign a stored payment method to help distinguish it from other stored payment methods in Financial Manager.

Storefront

At the USPTO, a storefront is an online shopping page that customers use to pay fees. The USPTO has several storefronts, each corresponding to different types of fees. For example, the Patent Maintenance Fees Storefront allows customers to pay maintenance fees for patents. EFS-Web is another storefront that allows customers to pay patent filing fees.

Uspto.gov Account

Your uspto.gov account is your online portal for all things USPTO. After creating your uspto.gov account, you'll have access to new tools, like Financial Manager, that make doing business with the USPTO fast and easy.

User

A Financial Manager user is anyone who has created a uspto.gov account and has permissions to access a stored payment method in Financial Manager.

User Permissions

User permissions are the distinct settings you can apply in order to assign other Financial Manager users varying levels of access to your stored payment method(s).

How to Use this Guide
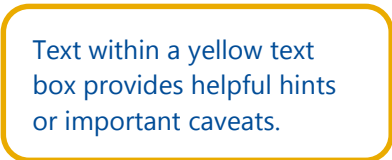
This user guide is structured in seven main sections.
- Sections 1-2 provide basic information that applies to all Financial Manager users.
- Sections 3-6 outline functionality based on Financial Manager's user permission settings.
- Section 7 is the appendix.

This user guide is best viewed electronically, as it includes clickable hyperlinks that can help you quickly navigate to the information you need.

Formatting Hints

Like Financial Manager, this user guide is formatted to help you find the information you need quickly and easily.

Example	Description	Explanation
1	Numbers in Yellow Circles	Indicate process steps; you can use these to quickly find the next step in any action you are trying to complete
a	Letters in Yellow Circles	Correspond to explanations of diagrams and screenshots
☐	Red Rectangles	Highlight important fields or buttons in Financial Manager
Return to the table of contents.	Underlined Text	Hyperlink to more information on a related topic; you can select the underlined text to be redirected to information about that topic
Text within a yellow text box provides helpful hints or important caveats.	Yellow Textboxes	Provide helpful hints or important caveats

Navigating Financial Manager

Navigation Tools

The main **navigation menu** is located in a blue bar towards the top of the page.
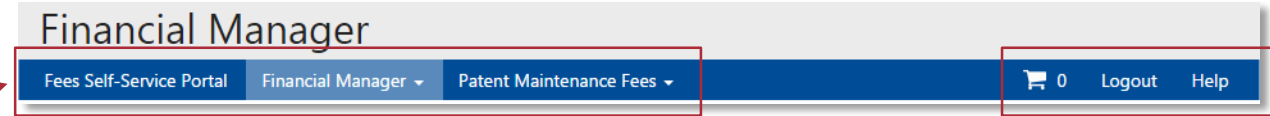
There are three primary navigation options:
1. Fees Self-Service Portal
2. Financial Manager
3. Patent Maintenance Fees

To the right, are three additional options:
1. Shopping cart
2. Log in/Logout
3. Help
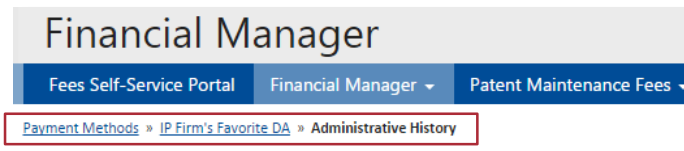
Each page also includes **breadcrumbs** below the main navigation menu. Breadcrumbs map out the trail or pathway to your current page in Financial Manager. You can use breadcrumbs to navigate back to previous pages.

On some pages, a series of **tabs** provide additional menu options, as in the example below.
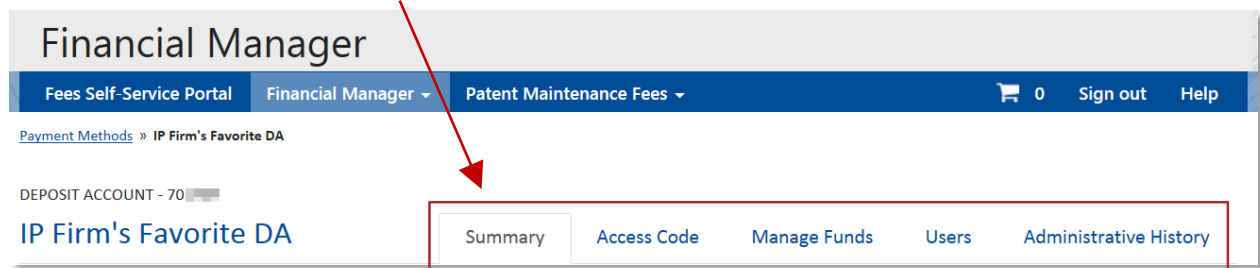
Some pages include a **left column** that offers additional information and functional options.
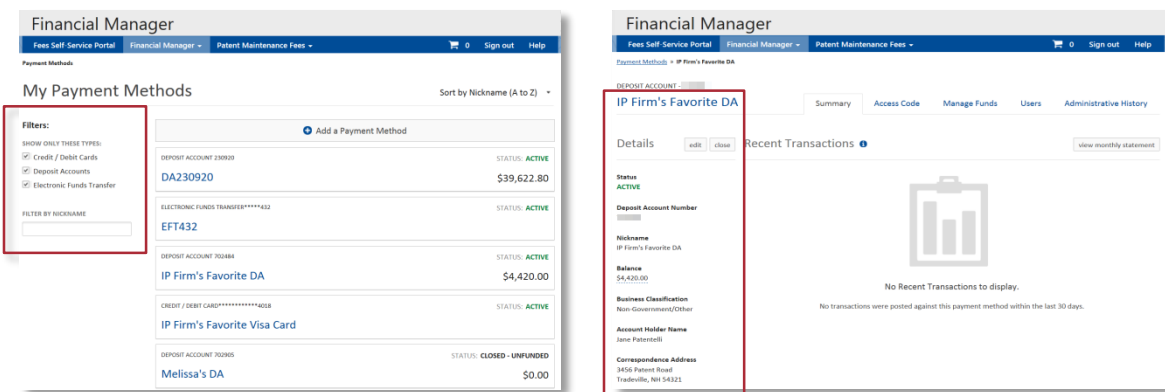
Tool Tips

Financial Manager includes in-application tool tips that provide helpful information about its features. Tool tips are indicated by 🛈 icons or dashed underlined text throughout the application. A tool tip is activated when you hover your mouse over the 🛈 icon or dashed underlined text, as in the examples below.

CREDIT / DEBIT CARD - ************4018

IP Firm's Favorite Visa Card

Details   [edit] [delete]   Recent Transactions 🛈

> Recent Transactions include the 20 most recent transactions posted against this payment method by any user within the past 30 days. Additional transaction history is available via the Reports page to users with Reporter permission. The date posted may differ from the date the transaction was received for processing. Transactions generally process and post within one hour. However, users may at times experience delays in the processing and posting of transactions on Financial Manager reports since the USPTO is transitioning to a new fee processing system. Delays may be more noticeable during month-end closing.

VISA

Status
ACTIVE

My Permissions

Administrator

Funds Manager

> Deposit Account Funds Managers can: view the basic administrative details of a deposit account; add funds to the deposit account; transfer funds between two deposit accounts; and withdraw funds from a deposit account.

Fee Payer

Reporter

Forms

Field/Button Activation

In Financial Manager, some forms are not eligible for submission unless all of the required fields are filled out. Required fields are denoted with a red asterisk symbol (*). Some elements of a form are also dependent on previous entries. Subsequent and/or dependent fields or buttons are grayed and deactivated out until you've entered enough information to proceed.

This form is missing information so some fields are not activated. The button at the bottom of the screen is also deactivated, preventing you from submitting the form.

All of the required information has been entered in this form. Therefore, dependent fields and the button at the bottom of the screen are activated, allowing you to submit the form.

Success Messages

Financial Manager will display green success messages at the top of the screen after each successful action, as in the examples below. Success messages indicate that you've successfully completed the desired action and include important information about the process completed. These messages are only visible to the user initiating the action and will disappear when you navigate to a different page or manually close the message.

Alert Messages

Yellow warning messages display important information about your stored payment methods. These warning messages will be visible to all users who have access to the page.
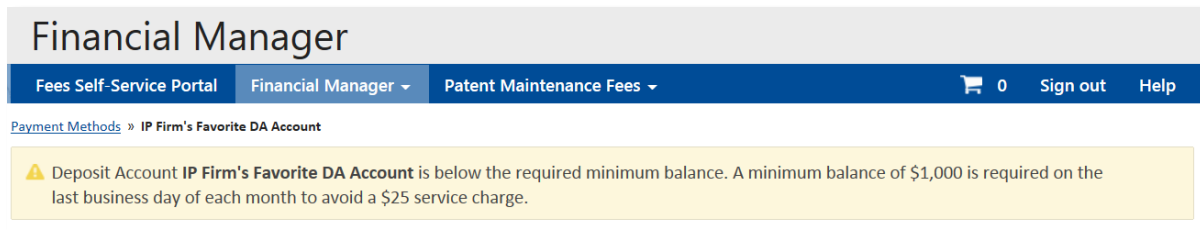
Red warning or error messages display urgent information about your stored payment methods or about the action you are attempting to complete. Red messages generally indicate that the user needs to take a specific action in order to continue conducting business with the USPTO.
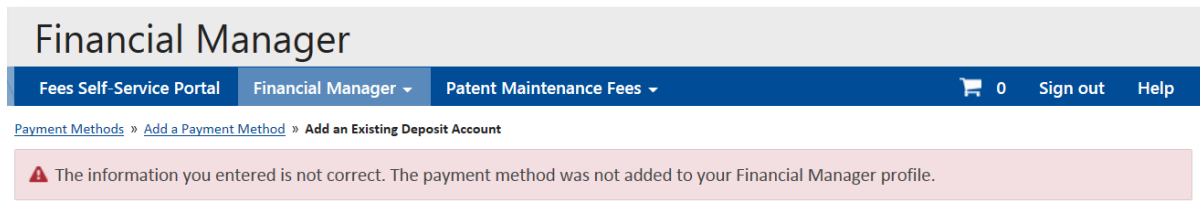
Tables

Several lists display as tables in Financial Manager. These include:

- Recent Transactions
- Administrative History
- User Permissions
- Transaction Reports
- Monthly Statements

Sorting Tables

In Financial Manager, you can sort tables to help you quickly find the information you need. This will rearrange the table so that the column you've selected displays in alphabetical or numerical order.

1 Navigate to the header of the column you'd like to sort. When you hover over one of the sortable headers, a double headed carat symbol ($\updownarrow$) will display, as in the example below. A gray message will also appear, indicating that the column is sortable.

Date Posted	Attorney Docket #	Status	⬍ Transaction ID sortable	Type	Total Payment (+) / Refund (-)	⊞⊟
10/06/2015		Processed	100615INTEFSW14524700	Payment	$1,700.00	⊞

When you select a sortable header, a small black triangle will appear, indicating the ascending or descending direction of the sorted information. A right side up triangle (▲) means the information is ascending; a downward pointing triangle (▼) means the information is descending.

2 You can select the bold header again to reverse the sort. The small triangle will change direction to indicate whether the information is ascending or descending.

3 You can select a different bold header to sort by another category in the table.

Date Posted	▲ Attorney Docket #	Status	Transaction ID	Type	Total Payment (+) / Refund (-)	⊞⊟
08/21/2015	MAINT FEE FOR CLIENT 12	Processed	082115INTMTFEE14490200	Payment	$1,760.00	⊞

Filtering Tables

You can filter tables to only display items that are relevant to your search. Filter options are located in the left column of the page.

For **checkbox filters**, select the types of items you want to view, as in the example below. Selecting all of the checkboxes will restore the table's original view.

For **date filters**, you can manually enter the date in MM/DD/YY format or use the dropdown menu to select the date on the calendar.

FROM: Enter the start date for the transaction search. You can manually enter the date in MM/DD/YY format or use the drop down to select the date on the calendar.

Search by Date

FROM:

TO:

CREATION DATE:
10/05/2015

Date ▾	User	Type of Change	Description
11/2			
11/2			
11/2			
11/20/2015	Financial Manager System-Process	Payment Method Status	The payment method sta...
10/06/2015	Rebecca S	Payment Method Details	Address was changed to ... US
10/05/2015	Rebecca S	User Permissions	Rebecca S was added
10/05/2015	Rebecca S	User Permissions	Rebecca S was added
10/05/2015	Rebecca S	User Permissions	Rebecca S was added

–	November	+

S	M	T	W	T	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	1	2	3	4	5
6	7	8	9	10	11	12

2014   **2015**   2016

> **TO**: Enter the end date for the transaction search. You can manually enter the date in MM/DD/YY format or use the drop down to select the date on the calendar.

Search by Date

FROM:

05/01/2015

TO:

05/31/2015

Search Dates   Reset

Select the Search Dates button to update the table to display items that fall within the selected date range.

To reset the table, select **"Reset."** This will restore the table's original view.

Expanding Items within Tables

By default, <u>transaction reports</u> and <u>monthly statements</u> display a **summary view** of each transaction that meets the report's criteria. The expand feature (⊞) allows you to expand each summary to display details for the transaction.

Date Posted	▼ Attorney Docket #	Status	Transaction ID	Typ		
09/02/2015	INTMTEAS 11/12/2014 05:46	Processed	090215INTMTEAS00000009702484	Payr		
08/21/2015	MAIN FEE FOR CLIENT 456 (+1 more)	Processed	082115INTMTFEE00000030702484	Payment	($2,640.00)	⊞
08/21/2015	MAIN FEE FOR CLIENT 8963 (+1 more)	Processed	082115INTMTFEE00000321702484	Payment	($2,640.00)	⊞
08/19/2015	1ST DEPOSIT TO IP FIRM DA	Processed	081915SITFNMGR10173900	Replenishment	$10,000.00	⊞

> By default, this report displays a summary of each transaction. Select the ⊞ icon to view details.

When a transaction is expanded to its **detailed view**, the ⊟ icon displays. You can select the ⊟ icon to collapse the detailed view, and return to the summary view of the transaction. A transaction in detailed view will also display with a lightly shaded background.

> The detailed view includes its own sub-headers that apply to the fees paid within the transaction.

Date Posted	▼ Attorney Docket #	Status	T						
09/02/2015	INTMTEAS 11/12/2014 05:46	Processed	0						⊞
08/21/2015	MAIN FEE FOR CLIENT 456 (+1 more)	Processed	082115INTMTFEE00000030702484	Payment			($2,640.00)		⊟

Sale Item Reference #	Attorney Docket #	Status	Sale ID	Fee Code	Item Price	Qty	Item Total
8100704	MAIN FEE FOR CLIENT 456	Processed	082115INTMTFEE00000030	1554	$160.00	1	$160.00
8100704	MAIN FEE FOR CLIENT 456	Processed	082115INTMTFEE00000030	1551	$1,600.00	1	$1,600.00
8119165	MAINT FEE FOR CLIENT XYZ	Processed	082115INTMTFEE00000030	2554	$80.00	1	$80.00
8119165	MAINT FEE FOR CLIENT XYZ	Processed	082115INTMTFEE00000030	2551	$800.00	1	$800.00

| 08/21/2015 | MAIN FEE FOR CLIENT 8963 (+1 more) | Processed | 082115INTMTFEE00000321702484 | Payment | | | ($2,640.00) | ⊞ |

Filtering Monthly Statement Tables

Financial Manager offers advanced options for filtering monthly statements. When viewing a monthly statement, you can select filters that apply to the summary view and/or the detailed view. You can also layer multiple filters at once to help narrow down your search.

1 While viewing your monthly statement, use the **"Select a filter"** dropdown menu to choose a filter to apply. **Summary Filters** will apply to the summary information of the transaction. **Sale Item Details Filters** will apply to the sale item details of the transactions. All others are displayed in both views.

2 Use the adjacent field to describe the filter rule you'd like to apply. This will activate the Add Filter button.

3 Select the Add Filter button. The filter rule will appear in the 1st filter box. The table will also be updated to only display transactions that meet this criterion.

4   Repeat steps 1-3 to add more filters. You may layer up to three filters.

DEPOSIT ACCOUNT - 7			Add up to three filters. ⓘ		
IP Firm's Favorite DA			Select a filter ▾		Add Filter

DATE RANGE	TOTAL CREDITS	TOTAL DEBITS	STATUS ⊗	TYPE ⊗	CUSTOMER NAME ⊗
08/01/2015 to 08/31/2015	$10,000.00	($5,280.00)	Processed	Payment	Rebecca S

Paginated Tables

Tables in Financial Manager will only display a limited number of items on each page. The navigation bar at the bottom of the page will become active if the table spans multiple pages.

«	‹ Previous	1 of 2	Next ›	»	Go to page:		Go

Use the   Next ›   button to navigate to the proceeding page. You can also use the **"Go to page:"** field to navigate to a specific page.

Stored Payment Methods

Introduction to Stored Payment Methods

At the USPTO, a stored payment method is an electronic payment method that is saved in Financial Manager. Financial Manager will allow you to save information for three types of electronic payment methods:

1. Credit/debit cards
2. Deposit accounts
3. Electronic funds transfers

There is no limit to the number of payment methods you can store in Financial Manager. Storing your payment method information will allow you to quickly pay fees to the USPTO without having to enter detailed information for each transaction. You can also use Financial Manager to research transactions you've completed with the USPTO using one of your stored payment methods.

Credit/Debit Cards

The USPTO accepts American Express, Discover Network, MasterCard, and Visa branded credit/debit cards that do not require a PIN.

The U.S. Department of the Treasury limits the amount that any federal agency, including the USPTO, can charge to a given credit card in one day. The current daily limit is $24,999.99. There is no daily limit on debit cards.

Deposit Accounts

Deposit accounts are pre-paid fund reserves that customers can establish with the USPTO to pay fees. Deposit accounts are the only type of stored payment method that may be used for providing a general authorization to charge any deficiency in the payment of required fee(s), thus preserving the original payment or filing date.

Charges to deposit accounts with insufficient funds will not be accepted. A minimum balance of $1,000.00 is required on the last business day of each month to avoid a $25.00 service charge.

Electronic Funds Transfer

An Electronic funds transfer (EFT) provides a means of transferring funds from your bank or other financial institution to the USPTO. A U.S. bank account is required and your banking information must be verified before you can use the EFT to submit a payment to the USPTO. The verification process takes up to 8 business days.

Payments will not be processed if there is an ACH/EFT block or filter on your bank account. You may need to provide your bank with the USPTO's ACH company ID number (1310000101) to properly establish the EFT payment method.

My Payment Methods Page

The **My Payment Methods page** is your personalized home page in Financial Manager. It lists all of the payment methods you have permission(s) to access.

a Your stored payment methods will display in alphabetical order based on its **nickname** by default. The nickname displays in large blue font on your My Payment Methods page. If you did not create a nickname for your stored payment method, an automated description of the payment method will display.

b You can change the order in which your stored payment methods are **sorted** using the `Sort by Nickname (A to Z)` dropdown menu in the upper right corner. You may choose to sort by nickname (A to Z); sort by nickname (Z to A); or sort by payment method status.

c The My Payment Methods page also displays the **status** for your payment method. A list of possible statuses for each payment method is located in the <u>Appendix.</u>

d Deposit account holders can also view their account **balance** on the My Payment Methods page. Balance changes are usually reflected in Financial Manager within one hour.

e The **filters** located in the left column can help you display the type(s) of payment method(s) you want to access. Use the checkboxes to select the payment type(s) you want to see.

The first time you log in to Financial Manager, your My Payment Methods page will indicate that you do not have any stored payment methods. This will also display if you have deleted all of your payment methods or if all of your permissions to access stored payment methods have been removed.

PART TWO

I'm a New User.

What do I need to know?

Store Payment Methods

Add a Payment Method Page

The **Add a Payment Method page** allows you to store payment methods in Financial Manager.

1 To access the Add a Payment Method page, select the "Add a Payment Method" button at the top of the My Payment Methods page.
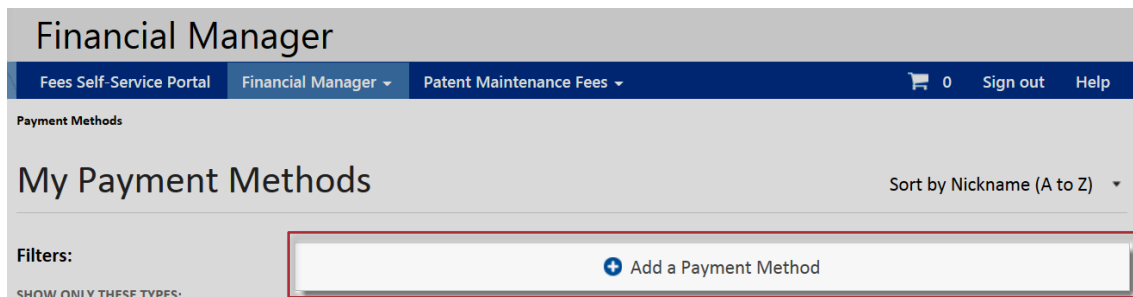
2 On the **Add a Payment Method page**, you'll notice that there are several ways to store a payment method in Financial Manager. You can:

When you add a new payment method in Financial Manager, you are **automatically assigned all user permissions** for the payment method. As an Administrator, you can edit user permissions for the payment method after it is stored in Financial Manager.

Add a Payment Method

In Financial Manager, there are several ways to store a payment method. You can:

- Migrate payment methods from your USPTO Financial Profile,
- Add an existing deposit account or EFT without using Financial Profile credentials, or
- Add/create a new payment method.

About the Financial Profile Migration Wizard

With the **Financial Profile Migration Wizard**, Financial Profile users can quickly move stored payment methods to Financial Manager. Your Financial Profile Username and Password can be used by multiple uspto.gov users to transfer payment methods to their Financial Manager profile.

You will need the following information to use the wizard:

All Financial Profile Users	**Deposit Account Holders**	**EFT Holders**
• Financial Profile username	• Access code	• EFT profile name
• Financial Profile password	• Authorization code	• EFT profile password

Auto-assigned user permissions in the Financial Profile Migration Wizard

The first user to migrate payment methods associated with the Financial Profile account will automatically be granted all permissions to the stored payment method. User permissions assigned to subsequent users to migrate vary based on payment method type.

- For **EFTs**, subsequent users will be granted Fee Payer permission when the EFT profile name and password are provided.

- For **deposit accounts**, subsequent users will be granted Fee Payer permission when the deposit account access code is provided. Fee Payer and Reporter permissions will be granted when both the deposit account access code and authorization code are provided.

- For **credit/debit cards**, every user will be granted all permissions. A card migrated from Financial Profile will result in an independent profile that will not be linked to other users who have previously migrated the same card.

We recommend designating one user to migrate all of your organization's payment methods from Financial Profile. This Administrator can then use Financial Manager to add customized permissions for all other users within your organization.

Migrate Stored Payment Methods from Financial Profile

1 On the Add a Payment Method page, select the [Migrate Your Profile] button to access the <u>Financial Profile Migration Wizard</u>.

2 On the first page of the Financial Profile Migration Wizard page, enter your Financial Profile Username and Password.

3 Select the [Continue] button at the bottom of the form to view and migrate your Financial Profile payment methods.

Once you've logged in to the Financial Profile Migration Wizard, you'll be directed to the second page of the Migration Wizard. On this page, payment methods associated with your Financial Profile account will display in alphabetical order, based on nickname (listed in **bold blue** font).

The second page of the Financial Profile Migration Wizard displays the following information for each of your payment methods:

All Payment Methods	**Credit/Debit Cards**	**Deposit Accounts**	**EFTs**
• Payment method type	• Last four digits	• Deposit account number	• Last three digits of EFT bank account number
• Nickname			
• Status			

4 Use the checkboxes to select the payment methods you'd like to migrate to Financial Manager.

5 Use the text fields to enter security information/credentials for your deposit accounts and EFTs.

6 Select the Save button to check and save security credentials for each payment method.

7 Select the Continue button to complete the migration. This will take you to the My Payment Methods page, where a green success message will display. Your migrated payment methods will also appear in your list of payment methods.

> On the second page of the Financial Profile Wizard, a green success message will indicate the number of payment methods that are associated with your Financial Profile.

> You must enter and save security credentials for all of the payment methods you'd like to transfer in order to activate the "Continue" button.

Add a New Credit/Debit Card

1 On the Add a Payment Method page, select the **Add New** button in the credit card column. This will take you to the **Add a Credit/Debit Card form**.

2 Complete the Add a Credit/Debit Card form, entering card details and billing address information. A red asterisk (*) indicates that a field is required. When you have entered all of the required information, the **Save Payment Method** button will become active.

Financial Manager

Fees Self-Service Portal | Financial Manager ▾ | Patent Maintenance Fees ▾ | 🛒 0 | Sign out | Help

Payment Methods » Add a Payment Method » **Add a Credit / Debit Card**

Add a Credit / Debit Card

Approved for use through 1/31/2018. OMB 0651-0043.

Required fields *

Card Details

Nickname   IP Firm Amex
                  You can enter a custom nickname.

Card Number *   342757165637341
                  VISA MASTERCARD DISCOVER AMERICAN EXPRESS

Name on Card *   Mark Trade

Expiration Date* 02   2017

> Financial Manager will recognize the type of credit card you are using and highlight its logo.

Billing Address

Address Line 1 *   1234

Address Line 2   Main Street

Country *   UNITED STATES

City *   Big City

State / Region *   Wisconsin

Zip / Postal Code * 12345

Save Payment Method   Cancel

> To complete the Add a Credit/Debit Card form, the following information is **required** (*):
> • Card Number
> • Name on Card
> • Expiration Date
> • Billing Address
>   (including country, city, state, and zip)

3 Select the **Save Payment Method** button to store your credit/debit card in Financial Manager. This will take you back to the My Payment Methods page, where your new credit/debit card will be listed as one of your stored payment methods. A success message will display, indicating that you've successfully added a new credit/debit card.

Add/Create a New Deposit Account

1 On the Add a Payment Method page, select the [Add New] button in the deposit account column. This will take you to the **Add a Deposit Account form**.

2 Complete the Add a New Deposit Account form, entering deposit account details, correspondence address, and access code information. A red asterisk (*) indicates that a field is required. When you have entered all of the required information, the [Save Payment Method] button will become active.

Financial Manager

Fees Self-Service Portal | Financial Manager ▾ | Patent Maintenance Fees ▾ | 🛒 0 | Sign out | Help

Payment Methods » Add a Payment Method » Add a New Deposit Account

Create and Add a New Deposit Account

Required fields *

Deposit Account Details

Nickname: IP Firm's DA
You can choose a customized nickname (e.g. John's Deposit Account)

Account Holder Name *: Mark Trade
Can be an individual or an organization

Business Classification *: Non-Government/Other ▾

Correspondence Address

Attention Line:

Address Line 1 *: 1234

Address Line 2: Main St

Country *: UNITED STATES ▾

City *: Big City

State / Region *: Wisconsin ▾

Zip / Postal Code *: 12345

Create an Access Code

The Deposit Account Access Code is a four digit code required to make a payment using the deposit account. There will only be one Access Code per deposit account, so all deposit account Fee Payers must share the code.

Create an Access Code *: 4321
The Access Code is four digits.

Fund the Deposit Account

The Deposit Account must be funded within 45 days of establishment or it will be automatically closed. A minimum balance of $1,000.00 is required on the last business day of each month to avoid a $25.00 service charge. After saving the payment method, you can add funds to the Deposit Account via the Manage Funds tab. You can view funding options and instructions for how to fund a deposit account in the Help section.

[Save Payment Method] [Cancel]

> To complete the Add a New Deposit Account form, the following information is **required** (*):
> - Account Holder Name
> - Business Classification (indicates affiliation with a government organization)
> - Correspondence Address (including country, city, state, and zip)

3 Select the `Save Payment Method` button at the bottom of the screen to submit the form. This will take you back to the My Payment Methods page, where your new deposit account will be listed as one of your stored payment methods. A green success message will also display at the top of the page.

Immediately after the deposit account is created, it will display on your My Payment Methods page with a status of Active – Unfunded, as in the example below.

DEPOSIT ACCOUNT	STATUS: **ACTIVE - UNFUNDED**
IP Firm's Favorite DA	$0.00

A deposit account can remain Active – Unfunded for 45 days before it is automatically closed. Learn more about stored payment method statuses.

On the deposit account's Summary page, a yellow alert box will indicate the **date the deposit account will close** if it remains unfunded.

> ⚠ Deposit Account **IP Firm's DA** currently has a balance of $0.00 and will be automatically closed if funds are not added before the end of the day on January ____.

Only a Funds Manager can add funds to a new deposit account. The process for adding funds to a new deposit account is described in the Replenish a Deposit Account section.

Add an Existing Deposit Account

1 On the <u>Add a Payment Method page</u>, select the **Add Existing** button in the deposit account column. This will take you to the **Add an Existing Deposit Account form**.

Add an Existing Deposit Account

Required fields *

Deposit Account Details

The first person to claim the deposit account must enter the deposit account number, deposit account access code, and the deposit account user authorization code. The first person to enter the information correctly will be granted Administrator permission, as well as Funds Manager, Fee Payer, and Reporter permissions. No other individuals may associate a deposit account with their Financial Manager profile until the Administrator role has been granted (i.e. the deposit account has been claimed by a user who knows all required information). The Administrator will then be able to grant other registered users permission to the deposit account.

Alternatively, other registered users may also "self-associate" themselves to the deposit account. Users who choose to self-associate to a previously migrated deposit account and enter both the access code and the user authorization code will be granted Fee Payer and Reporter permissions, while users who enter only the access code will be granted Fee Payer permission. The deposit account Administrator may subsequently adjust user permissions at any time via the 'Users' tab within the payment method in Financial Manager. It is highly recommended that at least one other user be granted Administrator permission. Please see more information about permissions below.

Enter the deposit account number *

Enter the 4 digit deposit account access code *

Enter the deposit account user authorization code

[Add deposit account]   [Cancel]

2 Complete the Add an Existing Deposit Account form, entering the deposit account number, access code, and user authorization code (if necessary).

First user to add the existing deposit account:

If you are the first person to add the deposit account to Financial Manager, you'll need to enter the deposit account number, access code, and user authorization code. You will be granted Administrator, Funds Manager, Fee Payer and Reporter permissions for the deposit account.

Enter the deposit account number *

12_____
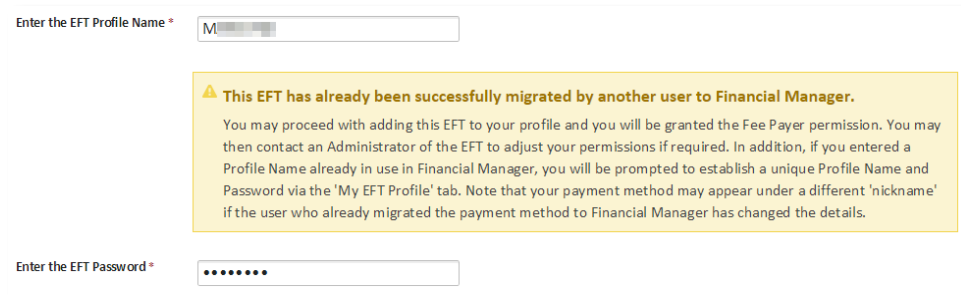
⚠ **You are the first user to migrate this deposit account.**

All fields are required and you will be granted all permissions by default upon successful migration of the deposit account to your Financial Manager profile

Enter the 4 digit deposit account access code *

Enter the deposit account user authorization code *

Subsequent users to add the existing deposit account:

If you are not the first person to migrate the deposit account to Financial Manager, you will only need the deposit account number and access code to be granted Fee Payer permission. Users that also enter the user authorization code will receive both Fee Payer and Reporter permissions for the deposit account.

Enter the deposit account number *

⚠ **This deposit account has already been successfully migrated by another user to Financial Manager.**

You may proceed with adding this deposit account to your profile by entering the access code to be granted Fee Payer permission. In addition, you may enter the user authorization code to be granted the Reporter permission. You may then contact an Administrator of the deposit account to adjust your permission if required. Note that your payment method may appear under a different 'nickname' if the user who already migrated the payment method to Financial Manager has changed the details.

Enter the 4 digit deposit account access code *

Enter the deposit account user authorization code

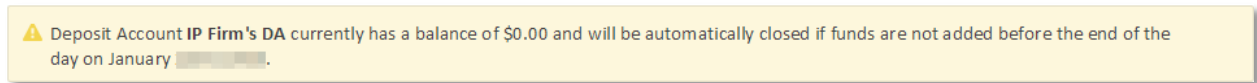> An Administrator can adjust the permissions automatically assigned to subsequent users at any time as needed.

3 Select the **Add deposit account** button at the bottom of the screen to submit the form. This will take you back to the My Payment Methods page, where your deposit account will be listed as one of your stored payment methods. A green success message will also display, indicating that you've successfully added the deposit account.

Add a New EFT

> If you believe that someone in your organization has already stored this electronic funds transfer account in Financial Manager, consider asking that user to grant you permission(s) to access the account. This will eliminate the 8 business day authentication period for you and give you immediate access to the EFT.

1 On the Add a Payment Method page, select the **Add New** button in the electronic funds transfer column. This will take you to the **Add an Electronic Funds Transfer form**.

2 Complete the Add an Electronic Funds Transfer form. A red asterisk (*) indicates that a field is required. When you have entered all of the required information, the **Save Payment Method** button will become active.

To complete the Add an Electronic Funds Transfer form, the following information is **required** (*):
- Name of Financial Institution
- Account Type (checking or savings)
- Account Classification (business or personal)
- Name on Bank Account
- Routing Number
- Bank Account Number
- Correspondence Address (including country, city, state, and zip)

You will be required to create a unique **EFT Profile Name & Password**. These credentials are required when using a stored EFT to make a payment on some USPTO storefronts. These credentials are unique to each user of Financial Profile, but will be phased out at the end of the transition period.
- The EFT Profile Name must between four and eight alphanumeric characters.
- The Password must contain at least one letter and one number. It must also be between six and eight characters and can't match the Profile Name.

3 Select the [Save Payment Method] button at the bottom of the screen to submit the form. This will take you back to the My Payment Methods page, where your new EFT will be listed as one of your stored payment methods. A green success message will also display.

Add an Existing EFT

1 On the <u>Add a Payment Method page</u>, select the [Add Existing] button in the electronic funds transfer column (EFT). This will take you to the **Add an Existing EFT Account form**.

2 Complete the Add an Existing EFT Account form, entering the EFT Profile Name and EFT Password.

First user to add the EFT account:

A yellow alert message will display indicating that once you've migrated the EFT to your Financial Manager profile, you will be granted Administrator, Fee Payer and Reporter permissions for the EFT account.

Subsequent users to add the existing EFT account:

A yellow alert message will display indicating that once you've migrated the EFT to your Financial Manager profile, you will be granted Fee Payer permission only.

Enter the EFT Profile Name *   M▒▒▒▒

⚠ **This EFT has already been successfully migrated by another user to Financial Manager.**

You may proceed with adding this EFT to your profile and you will be granted the Fee Payer permission. You may then contact an Administrator of the EFT to adjust your permissions if required. In addition, if you entered a Profile Name already in use in Financial Manager, you will be prompted to establish a unique Profile Name and Password via the 'My EFT Profile' tab. Note that your payment method may appear under a different 'nickname' if the user who already migrated the payment method to Financial Manager has changed the details.

Enter the EFT Password *   ••••••••

An Administrator can adjust the permissions automatically assigned to subsequent users at any time as needed.

3 Select the   Add Payment Method   button at the bottom of the screen to submit the form. This will take you back to the My Payment Methods page, where your EFT will be listed as one of your stored payment methods. A green success message will also display at the top of the page.

Stored Payment Method Summary Page

The Summary pages for each of your stored payment methods includes administrative and transaction information about the payment method.

1 To access the Summary page for a stored payment method, select the stored payment method on the My Payment Methods page.

2 While the details displayed on the Summary page will vary based on the level of access you have for the stored payment method, key components will be the same.

The Summary page will always display as the **first tab**.

The center of the Summary page will display **recent transactions** completed with the stored payment method. Recent transactions are only visible to users with Reporter or Administrator permissions for the stored payment method.

Details for the stored payment method will display in the left column.

You will also be able to view contact information for **Administrator(s)** and **your permissions** for the stored payment method.

Payment Method Details

Payment method details includes identifying information for the stored payment method (e.g. last four numbers of your credit card) and contact information associated with the stored payment method.

Under **Details**, you will also find your stored payment method's:

- Status
- Nickname
- Administrators

Additional information displayed varies based on the stored payment method type. For example, deposit accounts list a deposit account number and EFTs list a routing number.

Payment Method Status

Your payment method status indicates your current and future ability to use the payment method to pay fees at the USPTO. Information about possible statuses for each payment method type is included in the Appendix.

In Financial Manager, you can find your payment method status on the My Payment Methods page or on the stored payment method Summary page.

User Permissions

Introduction to User Permissions

There are three standard permissions across all stored payment methods:

i. An **Administrator** can:
    a. View and modify the administrative details of the stored payment method
    b. Delete or close a stored payment method
    c. Grant and remove other users' permission and access to the stored payment method

ii. A **Fee Payer** can:
    a. View the basic administrative details of the stored payment method
    b. Make payments to the USPTO using the stored payment method

iii. A **Reporter** can:
    a. View the basic administrative details of the stored payment method
    b. Develop, view, and share reports about the transactions associated with the stored payment method

For deposit accounts, there is a fourth permission:

iv. A **Funds Manager** can:
    a. View the basic administrative details of a deposit account
    b. Add funds to the deposit account (including funds transfers between two deposit accounts)
    c. Withdraw funds from the deposit account

> We suggest that you assign user permissions in a manner that aligns with your business processes. For example, if someone from your billing department handles most of your account reconciliation, consider granting them Reporter permissions.

Receiving Access to Existing Stored Payment Method

Anyone who has created a uspto.gov account can be granted access to an existing stored payment method in Financial Manager. To do this, an <u>Administrator</u> for the payment method must assign permission to the individual, using the user name (i.e. primary email address) associated with the user's uspto.gov account.

Users that have been assigned permissions to a stored payment method will receive an automated email notification from Financial Manager explaining the change. The stored payment method will also become available on your My Payment Methods page.

View Your User Permissions

Each payment method stored in Financial Manager has its own set of customized user permissions. If you've been assigned any of the four user permissions for a given payment method, it will automatically display on your stored payment method <u>Summary page</u> in Financial Manager.

Email Notifications

Financial Manager sends auto-generated email notifications to help you manage your stored payment methods. Email notifications communicate an administrative action or payment method status change.

You will receive notifications that align with your permissions for each stored payment method. You will also receive an email notification when you receive new or updated permissions for a stored payment method.

There are two main types of email notifications:

1. **Standard Notification**

   Standard notifications are courtesy alerts or confirmation of a completed action. They do not call for any action from the recipient.

   For example, deposit account Administrators and Funds Managers will receive an email notification when a deposit account replenishment has been successfully submitted for processing. No action is required; the email is just a courtesy notification.

2. **Notification and Action Required**

   Notifications requiring action are indications of an action or status change that inhibits your ability to use the stored payment method.

   For example, credit/debit card Administrators and Fee Payers will receive an email notification when the credit/debit card has expired. An Administrator must update the credit/debit card details in order for payment functionality to resume at the USPTO.

At this time, email notifications can only be sent to the primary email address associated with a user's uspto.gov account. Currently, customers cannot set preferences for or opt-out of receiving email notifications in Financial Manager.

PART THREE

I'm an Administrator.

What do I need to know?

The Administrator Role

In Financial Manager, an Administrator for a given stored payment method can:
- View and modify the administrative details of the stored payment method
- Delete or close a stored payment method
- Grant and remove other users' permission and access to the stored payment method

View and Modify Administrative Details

Payment Method Administrative Details

Payment method details are displayed in the left column of the Summary page for each of your stored payment methods. Learn more about payment method details.

Edit Payment Method Details

1 On the payment method's Summary page, select the [edit] button, located to the right of the Details header. This will take you to the form to update payment method details.
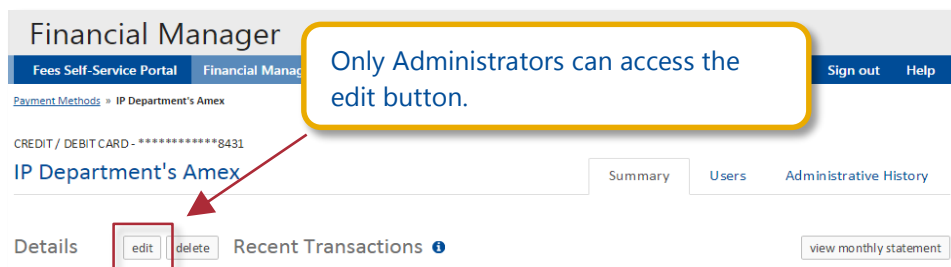
You can edit/update the following details for each stored payment method:

Credit/Debit Card	Deposit Account	Electronic Funds Transfer
• Nickname	• Nickname	• Nickname
• Name on Card	• Account Holder Name	• Name of Financial Institution
• Expiration Date	• Correspondence Address	• Name on Bank Account
• Billing Address		• Correspondence Address

2 Edit the form fields to update details for your stored payment method.

3 Select the **Update Payment Method** button at the bottom of the screen to submit the form. This will take you to the payment method's Summary page, where a green success message will indicate that you've successfully updated the stored payment method's details. Your updated payment method details will be listed in the left column.

Recent Transactions

View Recent Transactions

Recent transactions for your stored payment method are displayed in a <u>table</u> on the payment method <u>Summary page</u>. It displays the 20 most recent transactions completed within the past 30 days. You can sort and apply filters to this table to help you find specific transactions.

The Recent Transactions table includes the following information for each transaction:

- Date Posted
- Status

- Attorney Docket #
- Total Credit / Total Debit (deposit accounts only)

- Transaction ID
- Total Payment / Total Refund (credit/debit cards and EFTs only)

- Type (e.g. payment, refund, etc.)

DEPOSIT ACCOUNT -

IP Firm's Favorite DA   Summary   Access Code   Manage Funds   Users   Administrative History

Details   [edit]   [close]

Status
ACTIVE

Deposit Account Number
703409

Nickname
IP Firm's Favorite DA

Balance
$517,000.00

Business Classification
Non-Government/Other

Account Holder Name
Mark Trade

Recent Transactions ℹ

Date Posted ▲	Attorney Docket #	Status	Transaction ID	Type	Total Credit (+) / Total Debit (-)
02/11/2016		Processed	021116INTMTFEE00012294703409	Payment	($880.00)
02/02/2016	TRANSACTION 2	Processed	020216SITFNMGR14330400	Replenishment	$100,000.00
02/02/2016	TRANSACTION 1	Processed	020216SITFNMGR14325000	Replenishment	$100,000.00
02/02/2016	TRANSACTION 5	Processed	020216SITFNMGR14334900	Replenishment	$100,000.00
02/02/2016	TRANSACTION 4	Processed	020216SITFNMGR14333500	Replenishment	$100,000.00
02/02/2016	TRANSACTION 3	Processed	020216SITFNMGR14332200	Replenishment	$100,000.00
01/29/2016	AUTOREPLENISH- MARK TRADE	Processed	012916AUTOREPL22001200	Replenishment	$10,000.00
01/29/2016		Processed	012916INTMTFEE00001280703409	Payment	($3,280.00)

Administrative History Page

The administrative history for your stored payment method lists administrative changes that have been made to your stored payment method. These include changes to the payment method details, payment method status, and user permissions for the payment method. In addition, deposit accounts show changes to auto-replenishment and withdrawal options.

> Access to the **Administrative History page** is limited to those with Administrator permission on the stored payment method.

View Administrative History

1 From the stored payment method's <u>Summary page</u>, select the [Administrative History] tab. This will open the stored payment method's **Administrative History page**.
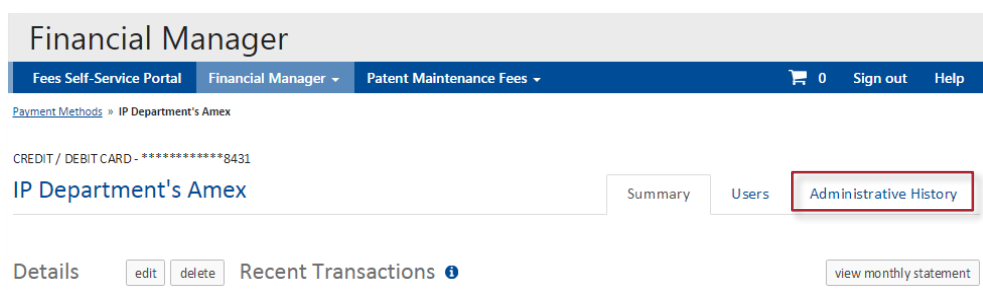
The Administrative History page includes details for each of the administrative actions or updates that have been made to the stored payment method. This includes:

Date	**User**	**Type of Change**	**Description**
Date the action was performed	Name of the user that performed the action – this can be someone from your organization or someone from the USPTO who completed the action on your behalf	Type of change that was made to the account. There are five types: • Payment Method Details • Payment Method Status • User Permissions • Auto Replenishment* • Withdrawal Options*	Details about the administrative action
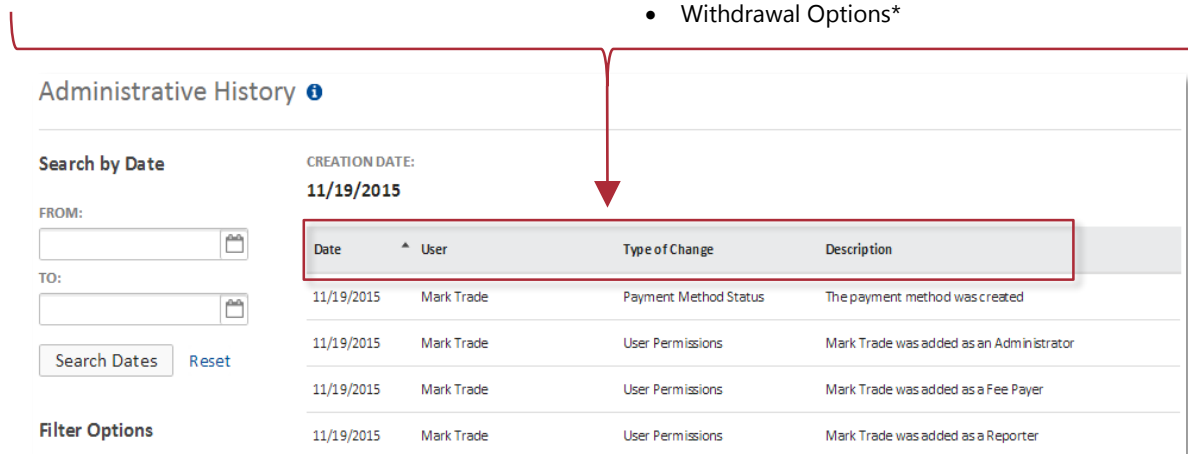
Sort and Filter the Administrative History Table

To quickly find the information you need, you can **sort** the administrative history table by date, user, and type of change. This will rearrange the administrative actions so that the column you've selected displays in alphabetical or numerical order.

The **Search by Date** feature allows you to filter the Administrative History to only display items within a given range of dates.

You can also **filter** your Administrative History table so that it only displays items that are relevant to your search. You can filter your report to display items related to these types of changes:
i. Auto Replenishment (deposit accounts only)
ii. Payment Method Details
iii.   Payment Method Status
iv.   User Permissions
v. Withdrawal Options (deposit accounts only)

Learn more about sorting and filtering tables in Financial Manager.

Delete and Close Stored Payment Methods

Delete a Stored Payment Method

Deleting a stored payment method permanently removes it from your Financial Manager account and the accounts of all other users associated with the payment method. You will not be able to view transaction reports or view administrative history for the payment method. Deleting the payment method will not impact previously submitted payments.

To delete a deposit account, it must be first be closed.

1 On the stored payment method's <u>Summary page</u>, select the [delete] button. A red and white confirmation message will display asking, "Are sure you want to delete this payment method?"

CREDIT / DEBIT CARD - ************3227

My VISA

| Summary | Users | Administrative History |

Details [edit] [delete] Recent Transactions ⓘ [view monthly statement]

The delete button will only appear after a deposit account is closed. Only Administrators can access the delete button.

2 Select the [Yes, delete this payment method] button. This will take you to the My Payment Methods page, where the deleted credit/debit card, EFT, or deposit account will no longer appear in your list of payment methods. At the top of the screen, a green success message will also indicate that you've successfully deleted the payment method.

Are you sure you want to delete this payment method?

CREDIT / DEBIT CARD -
************0005

IP Firm's Amex

Warning: Deleting **IP Firm's Amex** will remove it from your Financial Manager account and from the accounts of all other users associated with the payment method. Reporting functionality will no longer be available for this payment method. Deleting this payment method will not impact orders already placed.

Are you sure you want to delete this payment method?

[Yes, delete this payment method] [No, do not delete this payment method]

Close a Deposit Account

When you close a deposit account, you will be asked to select a refund option, which is how you will receive the balance of funds in your deposit account. You may choose to transfer the funds to another deposit account or EFT you have Fee Payer permission for, or request a mailed check.

1 On the deposit account's Summary page, select the `close` button. A red and white confirmation message will display asking, "Are sure you want to close this deposit account?"

DEPOSIT ACCOUNT - 0▮▮▮▮

IP Firm's Favorite DA   Summary   Access Code   Manage Funds   Users   Administrative History

Details   edit   close   Recent Transactions ℹ   view monthly statement

Only Administrators can access the close button.
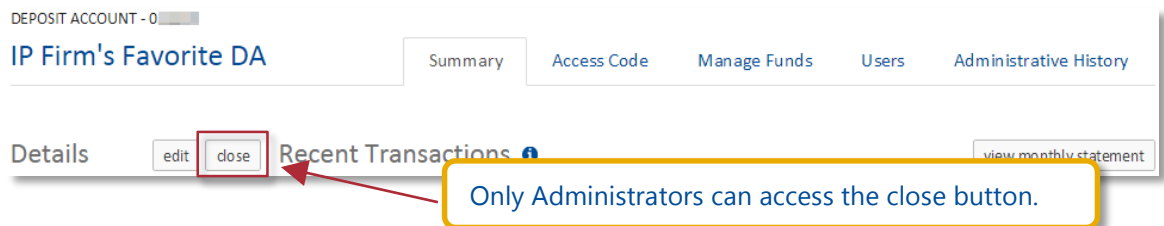
2 Select the `Yes, close this deposit account` button. This will take you to the Close Deposit Account page.

3 Use the drop down box to select your refund method. If you select "Mailed Check," a check will be mailed to the correspondence address associated with the deposit account.

4 Select the `Refund Balance & Close Deposit Account` button at the bottom of the screen to submit the form. This will take you to the deposit account's Summary page, where a success message will indicate you've successfully initiated the deposit account closure.

IP Firm's Favorite DA

Select Refund Option

Required fields *

Balance ℹ $7,360.00

Refund balance to *   IP Firm's Favorite EFT ▾

`Refund Balance & Close Deposit Account`   Cancel

Once you initiate closure of your deposit account, you can no longer use it to make payments. It will close within 30 days – there is a 30 day waiting period from the date of the last posted transaction. After closure, any remaining funds will be returned to you. On the deposit account's Summary page, a yellow alert will display the date the account will close. An Administrator for the deposit account can underline reactivate a deposit account at any time during the 30 day pending closure period.

Reactivate a Deposit Account

After an Administrator submits a request to close a deposit account, the deposit account will transition to a status of Pending Closure – Customer Request. An Administrator can quickly reactivate a deposit account that is pending closure, if needed.

An Administrator can also reactivate a deposit account with a status of Active – No Recent Activity.

1 On the deposit account's Summary page, select the reactivate button. A red and white alert box will appear, asking if you are sure you want to reactivate this deposit account.
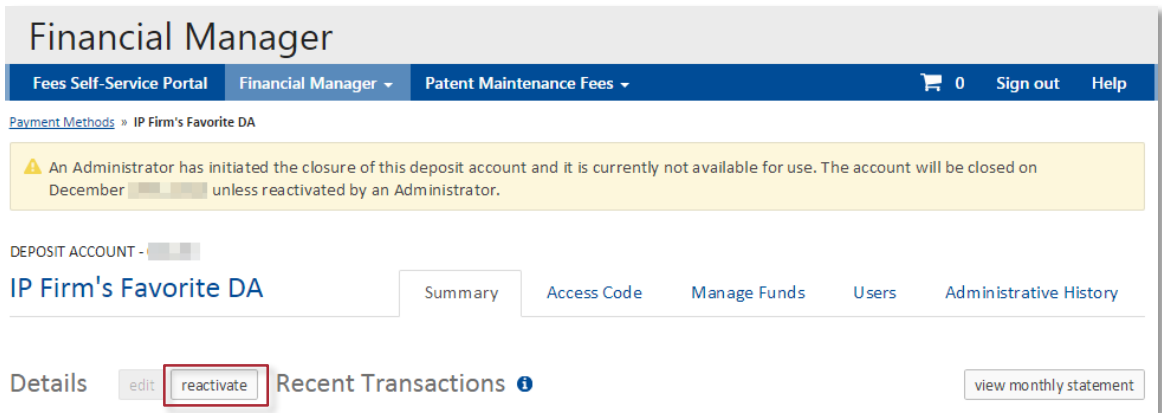
2 Select the Yes, reactivate this deposit account button. This will refresh the deposit account Summary page, where a green success message will indicate that you've successfully reactivated the deposit account. The status of the deposit account will also be updated to Active.
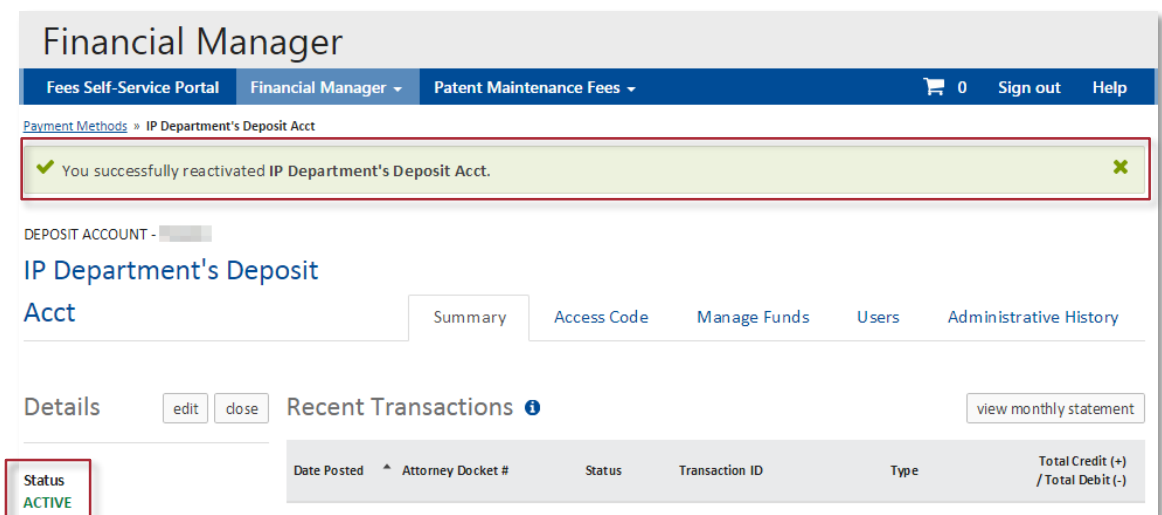
Grant and Remove User Permissions

User Permissions Page

The **User Permissions page** for your stored payment method allows Administrators to view, edit, and remove user permissions for the stored payment method. Additional information on user permissions is located in the underline introduction to user permissions.

> Access to the User Permissions page is limited to those with Administrator permission on the stored payment method.

View User Permissions

1 Select the `Users` tab on the stored payment method's Summary page. The `Users` tab is always left of the Administrative History tab.
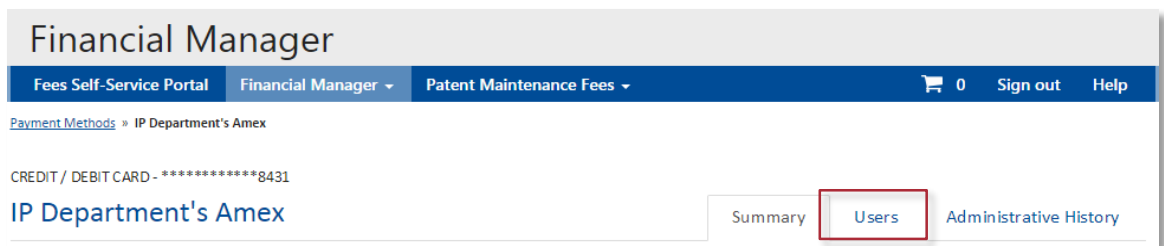
This will open the User Permissions page, where all of the users associated with your stored payment method are listed.
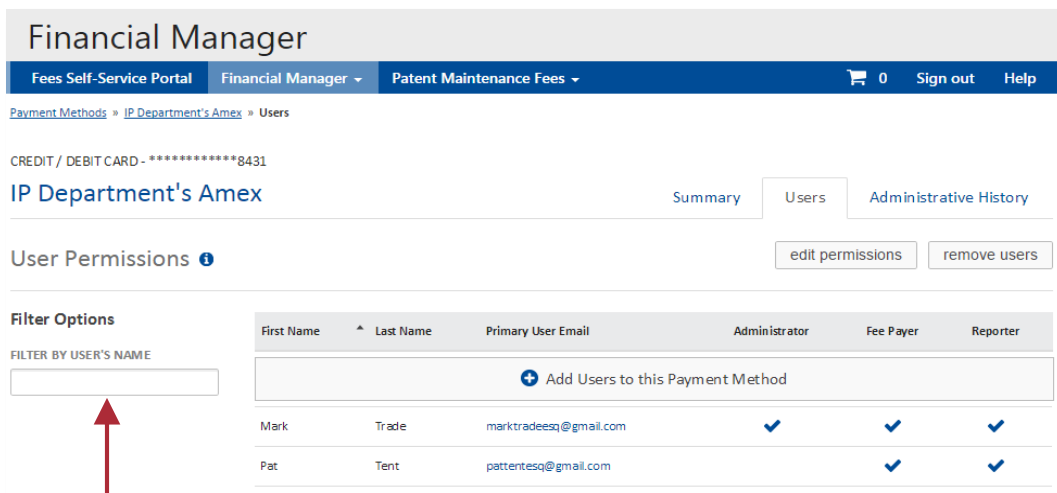
The **filter** allows you to refine your search by entering part of the user's name.

On the User Permissions page, a table lists all user information, including each user's first name, last name, primary user email, and their assigned permissions indicated by check marks.

Assign User Permissions

1 On the User Permissions page, select the [⊕ Add Users to this Payment Method] button. This will take you to the Add User(s) to this Payment Method page.

2 Enter the user's email address in the text field then select the [Find User] button. The search will generate a "Results" box that lists the matching user's email address, full name, and available permissions.

> You must enter the email address associated with the user's uspto.gov account.

3 Select the checkboxes to assign permissions for the user. Hover your mouse over the permissions to view details about each.

As you select permissions for the user, Financial Manager will add additional permissions that pair well with the one(s) you've chosen, as described in the table below. You can deselect any permission(s) you do not want the user to have.

Permission Selected	Administrator	Funds Manager	Fee Payer
Auto-added Permission(s)	Fee Payer; Reporter	Reporter	Reporter

4 Select the [Add User] button. This will take you back to the Add User(s) page for the payment method. At the top of the screen, a green success message will indicate that you've successfully assigned the user permission(s).

> There is no limit to the number of users you can add to a stored payment method.

Edit User Permissions

As an Administrator, you can also make updates to existing user permissions on your stored payment method. If you are an Administrator with multiple permissions, you can change all of your own permissions except "Administrator."

1 On the stored payment method's User Permissions page, select the `edit permissions` button.

CREDIT / DEBIT CARD - ************8431

IP Department's Amex

Summary   Users   Administrative History

User Permissions ⓘ   edit permissions   remove users

This will reveal checkboxes that allow you to edit user permissions for one or more than one user. Each user associated with the stored payment method is listed, followed by a row of checkboxes that correspond to each permission.

2 Select the checkboxes to assign or remove permissions for each user as desired. The `Update User Permissions` button will become active only if you've made changes to the user permissions.

DEPOSIT ACCOUNT - 7▮▮▮▮

IP Department's Deposit Acct

Summary   Access Code   Manage Funds   Users   Administrative History

Edit Permissions ⓘ

Filter Options

FILTER BY USER'S NAME

First Name ▲	Last Name	Primary User Email	Administrator	Funds Manager	Fee Payer	Reporter
Mark	▮▮	mark▮▮▮▮@gmail.com	✔	☑	☑	☑
Pat	▮▮	pat▮▮▮▮@gmail.com	☐	☑	☑	☑
Phillip	▮▮	phillip▮▮▮▮@gmail.com	☐	☑	☐	☑

`Update User Permissions`   `Cancel`

3 After updating the Edit Permissions page, select the `Update User Permissions` button to submit the form. This will take you to the User Permissions page. At the top of the screen, a green success message will indicate that you've successfully edited the user permission(s).

> Each user associated with the stored payment method must have at least one permission. If you want to remove all permissions for a user, you must remove the user.

Remove Users from a Stored Payment Method

If you'd like to remove all of a user's permissions to a stored payment method, you will need to remove the user from the stored payment method. This will completely eliminate the user's access to your stored payment method.

> An Administrator cannot remove him/herself from a stored payment method; this must be completed by another Administrator.

1 On the stored payment method's <u>User Permissions page</u>, select the `remove users` button. This will take you to the **Remove Users page**.

CREDIT / DEBIT CARD - ***********0005

IP Firm's Amex

Summary   Users   Administrative History

User Permissions ⓘ   edit permissions   remove users

2 Select the checkbox(es) left of the user(s) you'd like to remove. You can perform this action for multiple users at once. You cannot remove yourself from the stored payment method.

IP Department's Deposit Acct

Summary   Access Code   Manage Funds   Users   Administrative History

Remove Users ⓘ

Filter Options

FILTER BY USER'S NAME

	First Name ▲	Last Name	Primary User Email	Administrator	Funds Manager	Fee Payer	Reporter
	Mark		mark⬛⬛⬛@gmail.com	✔	✔	✔	✔
☐	Pat		pat⬛⬛⬛@gmail.com		✔	✔	✔
☑	Phillip		phillip⬛⬛⬛@gmail.com		✔		✔

Remove Selected Users   Cancel

3 Select the `Remove Selected Users` button at the bottom of the page. A red and white confirmation message will display asking, "Are sure you want to remove the selected user(s)?"

4 Select the `Yes, Remove Selected Users` button. This will refresh the Users page, where a green success message will indicate that you've successfully removed the user(s).

Are you sure you want to remove the selected user(s)?

The selected user(s) will no longer have access to this payment method and it will no longer appear in their list of payment methods. This action does not impact other payment methods in the user's Financial Manager profile. Reports will continue to show all past transactions made by the user.

`Yes, Remove Selected Users`   Cancel

Manage Deposit Accounts

View Deposit Account Access Code

The deposit account access code is a four-digit code that may be required by some legacy USPTO storefronts when making fee payments. Once all USPTO storefronts are fully integrated into the new payment process, the deposit account access code will be retired. There is only one access code for each deposit account, so it is shared by all Fee Payers of the account. Administrators can view and change the access code. Fee Payers may only view the access code. Users without these permissions cannot view the access code.

1 On the deposit account's Summary page, select the [Access Code] tab. This will take you to the **Deposit Account Access Code page**, where your access code will display.

IP Department's Deposit
Acct   Summary   Access Code   Manage Funds   Users   Administrative History

Deposit Account Access Code

The Deposit Account Access Code is a four-digit code required to make a payment using the deposit account. There will only be one Access Code per deposit account, so all deposit account Fee Payers must share the code. Only an Administrator can change the Access Code, but other users of the deposit account should be made aware of the change.

Access Code   1234   change access code

Edit Deposit Account Access Code

1 On the Deposit Account Access Code page, select the hyperlink to change the access code. The change access code link is only visible to Administrators.

Access Code   1234   change access code

2 Enter your new four digit access code. This will activate the [Save New Access Code] button.

Access Code   4321

3 Select the [Save New Access Code] button. This will refresh the Deposit Account Access Code page, where your new access code will display. A success message will also indicate that you've successfully changed the deposit account access code.

Manage Deposit Account Withdrawal Options

In order for funds to be withdrawn from a deposit account, an Administrator must first select which option(s) will be available to the Funds Manager(s). This separation of duties helps protect our customers from unauthorized withdrawals. Both options are turned off by default.

1 On the deposit account Summary page, select the Manage Funds tab. Then select the Manage Withdrawal Options tab.

2 On the deposit account **Manage Withdrawal Options page**, select the Modify Withdrawal Options button. This will activate dropdown menus, allowing you to update the withdrawal options.

3 Use the dropdown menus to indicate whether you wish to "Allow" or "Not Allow" funds to be returned via EFT and mailed check. For deposit accounts belonging to government entities, funds may only be returned via mailed check.

> Allowing an EFT withdrawal permits Funds Managers to withdraw funds to any EFT for which they have Fee Payer permissions. Mailed Check withdrawals will only be sent to the correspondence address associated with the deposit account.

4 Select the Save Changes button to save your withdrawal options. This will refresh the Manage Withdrawal Options page, where your new withdrawal options will display for each option. A green success message will also display, indicating that you've successfully updated the deposit account's withdrawal options.

PART FOUR

I'm a Fee Payer.

What do I need to know?

The Fee Payer Role

In Financial Manager, a Fee Payer for a given stored payment method can:

- View the basic administrative details of the stored payment method and
- Submit payments to the USPTO using the stored payment method.

View Administrative Details

Payment Method Administrative Details

Payment method details are displayed in the left column of the Summary page for each of your stored payment methods. Learn more about payment method details.
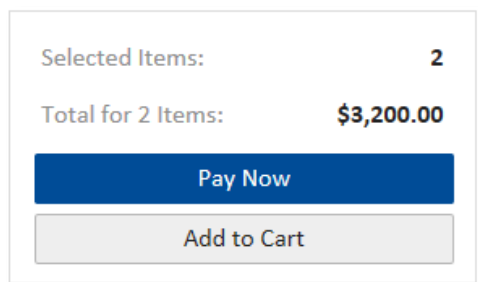
Submit Payments to the USPTO

With Financial Manager, uspto.gov account holders can quickly submit payments to the USPTO using a stored payment method. This means that you no longer have to enter detailed payment information for each transaction you make. Only Fee Payers for the stored payment method can use it to check out while logged in to uspto.gov.

Checking Out

Online payment of USPTO fees is initiated in the storefront that collects the fee. Some examples of USPTO storefronts include the Patent Maintenance Fees Storefront, EFS-Web, and TEAS.

> The fee payment process will vary between storefronts. The Fee Payment examples included in this guide are from the **Patent Maintenance Fees Storefront**. Not all USPTO storefronts offer the option to use a shopping cart and pay with a stored payment method. A list of storefronts that offer these options is included in the Appendix.

In the storefront, Fee Payers who are logged in to uspto.gov will have the option to select Add to Cart or Pay Now before checking out.

Selecting "Add to Cart" will add the fee payment to your uspto.gov shopping cart.

Selecting "Pay Now" will take you to the uspto.gov Payment page.

Shopping Cart
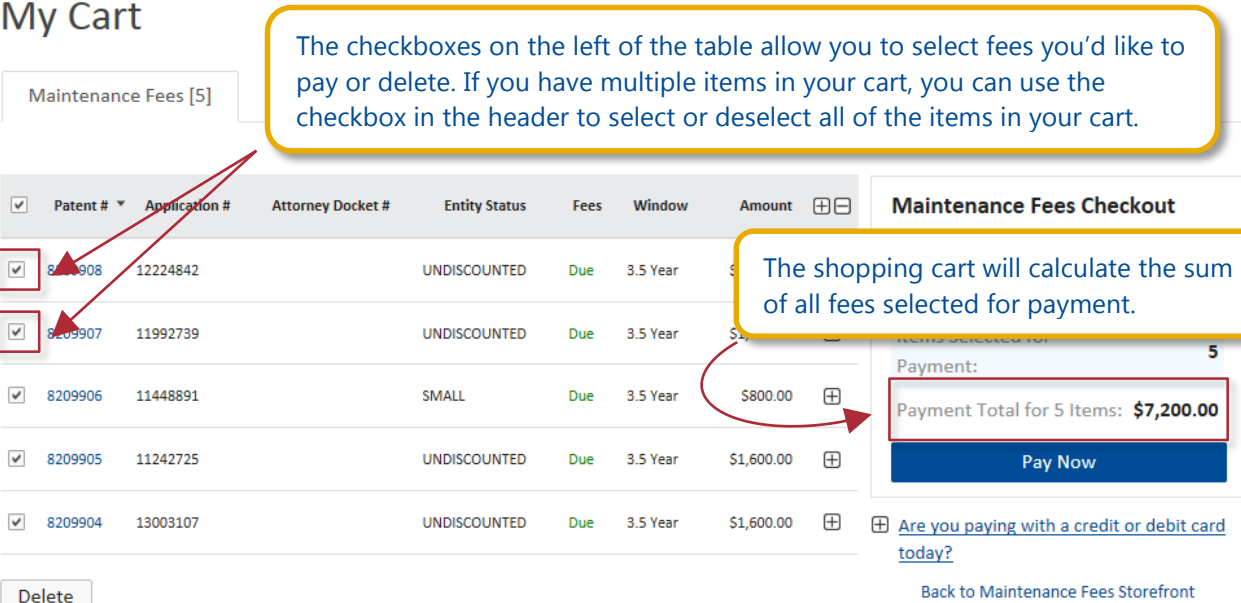
Some USPTO storefronts allow logged in uspto.gov users to add items to a shopping cart before checking out. You can add items to your shopping cart and check out once you have compiled all of the fees you wish to pay. You can also review and delete items in your cart or pay some of the fees, leaving others in the cart to pay later. The cart will display an expiration date for each item. Items not paid for by the posted expiration date will be removed from your cart.

To access your shopping cart, select the 🛒 icon in the storefront navigation menu.

A list of storefronts that offer shopping cart services is included in the Appendix.

Review Items in your Shopping Cart

The details for each item in your cart are displayed in a table. The type of details displayed will vary between storefronts.

Delete Items in Your Shopping Cart

1. Use the checkboxes to indicate which item(s) you'd like to remove from your shopping cart. By default, all of the items in your cart will be selected, so you will need to make sure that the items you want to keep are unchecked.

2. Select the Delete button to remove the selected items from your shopping cart. A red and white confirmation message will display asking, "Are sure you want to delete these items?"

3 Select the **Yes, delete selected item(s)** button. This will refresh your cart and a green success message will indicate that you've deleted the item(s) from your cart.

Are you sure you want to delete these items?

Deleted items will be removed from your cart and will not be paid for.

You can also pay for specific items in your cart by selecting the items you wish to pay for and choosing "Pay Now" from the checkout box.

Yes, delete selected item(s)   No, do not delete selected item(s)

Pay for Items in Your Shopping Cart

1 Use the checkboxes to indicate which item(s) you'd like to pay for. By default, all of the items in your cart will be selected, so you will need to make sure that the items you don't want to pay for are unchecked.

2 Select the **Pay Now** button under Payment Total. This will take you to the Payment page, where you will enter payment information.
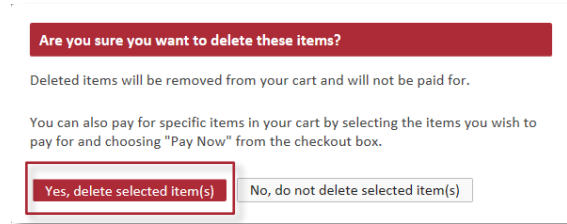
USPTO Payment Page

After you've selected [Pay Now] in the storefront or shopping cart, you will be directed to the uspto.gov **Payment page**. The Payment page outlines the fees you are paying, collects your payment information, and accepts your payment.

Payment

Order Details ⓘ

The **Order Details** section of the payment page includes the total amount for all of the fees you're paying. It also lists details about each fee.

TOTAL
$1,760.00

Sale Item Reference #	Sale Item Reference #2	Attorney Docket #	Fee Code	Item Price	Qty	Item Total
8127390	12025166		2551	$800.00	1	$800.00
8127390	12025166		2554	$80.00	1	$80.00
8127379	12456571		2551	$800.00	1	$800.00
8127379	12456571		2554	$80.00	1	$80.00

Payment Information

Required fields *

Approved for use through 1/31/2018. OMB 0651-0043.

The **Payment Information** section of the payment page allows you to select a payment option and choose a stored payment method to check out

Payment Options * ⓘ
- ⦿ Stored Payment Method
- ○ Credit/Debit Card
- ○ Deposit Account
- ○ EFT

Stored Payment Method * | IP Firm's DA - 122230 ▾ |

Credit / Debit Cards
   IP Firm's AMEX - ***********8637
Deposit Accounts
   IP Firm's DA - 1
Electronic Funds Transfer
   IP Firm's EFT - ******432

Submit Payment Using a Stored Payment Method

1 In the Payment Information section, select the **Stored Payment Method** radio button to activate the stored payment dropdown menu. The dropdown menu lists all stored payment methods for which you have Fee Payer permission.

> On the payment page, you may choose to pay using credit/debit card, deposit account, or EFT that is not stored in Financial Manager. After a transition period, the USPTO will require all deposit accounts and EFTs to be stored in Financial Manager and the ability to manually enter deposit account and EFT information will be phased out.

2 Use the dropdown menu to select the stored payment method you'd like to use to pay your fees.

If you are paying with a credit/debit card, you will be asked to enter the card security code (CVV). Data security best practices require us to collect credit card security codes for each credit/debit card transaction. The Submit Payment button will only become active if this information is provided.

3 Select the Submit Payment button. This will submit your payment information and take you back to the storefront, where you will receive your receipt.

Payment Information
Required fields *

Payment Options * ⓘ
○ Stored Payment Method
○ Credit/Debit Card
○ Deposit Account
○ EFT

Stored Payment Method *
IP Department's Deposit Acct - ▯▯▯▯
Deposit Account Balance: $15,000.00

Submit Payment   Cancel

Establish a General Authorization / Fee Preauthorization

A general authorization, also known as a fee preauthorization, authorizes the Director of the USPTO to charge any deficiency in the payment of required fee(s) and/or to credit any overpayments associated with a filing. The subsequent debits/credits will post against a deposit account designated by the customer at the time the fee preauthorization is established.

> General Authorizations are currently available to customers submitting payments to the USPTO via the EFS-Web storefront only. In the future, general authorizations will be available in additional USPTO storefronts.

1 On the USPTO Payment page, complete the Payment Information section of the form.

2 Select the checkbox to add a fee preauthorization to your order. This will enable the Establish Fee Preauthorization(s) form to display.

3 Use the dropdown menu to select the deposit account you'd like to use for this pre-authorization.

4 Use the checkboxes to select the fees you'd like to authorize charges/credits for.

5 Select the **Submit Payment** button.

Payment Information

Required fields *

Payment Options * ⓘ
- ○ Stored Payment Method
- ○ Credit/Debit Card
- ○ Deposit Account
- ○ EFT

Stored Payment Method *   IP Firm's Favorite DA - 7▮▮▮▮

Deposit Account Balance: $9,080.00

☑ Check the box to add a fee preauthorization to this order. ⓘ

Establish Fee Preauthorization(s)

Deposit Account authorization is against *   IP Firm's Favorite DA - 7▮▮▮▮

Establish Fee Preauthorization(s): *   *The Director of the USPTO is hereby authorized to charge the indicated fees and credit any overpayment as required under the following:*
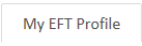
☑ 37 CFR 1.16 (National application filing, search, and examination fees)

☑ 37 CFR 1.17 (Patent application and reexamination processing fees)

☑ 37 CFR 1.19 (Document supply fees)

☑ 37 CFR 1.20 (Post Issuance fees)

☑ 37 CFR 1.21 (Miscellaneous fees and charges)

Submit Payment   Cancel

Manage Payment Credentials

Create an EFT Profile

An EFT Profile is a unique user name and password combination that each Fee Payer for an EFT must create to submit a payment using an EFT. Learn more about EFT Profiles. Until we are able to completely phase out storefront use of legacy credentials for payment, each Fee Payer must establish a profile name/password before they can use an EFT for payment.

1 On the EFT's Summary page, select the [My EFT Profile] tab. This will open the **My EFT Profile page**.

2 Enter an EFT Profile Name. This can be any combination of four to eight alphanumeric characters (A-Z, a-z, 0-9). Your EFT Profile Name must be unique; if you attempt to submit an EFT Profile Name that is already in use, you will be prompted to enter a different EFT Profile Name.

3 Enter a Password. The password must be between six and eight characters and it must contain at least one letter and one number (A-Z, a-a, 0-9, !, @, #, $, %, ^, *, (,), _, +, -, =).

4 Confirm your password by retyping it in the Confirm Password field.

5 Select the [Save EFT Profile] button. This will reload the My EFT Profile page, where your new EFT Profile name will display and a hyperlink will provide the option to change your password. A success message will also display, indicating that you've successfully created a profile name and password for your EFT.

If you attempt to submit a payment using an EFT, without having an EFT Profile, the Payment page will produce an alert message indicating that the EFT Profile information is invalid.

> ⚠ The EFT Profile Name or Password entered is invalid.

View EFT Profile

Once you've created an EFT profile, you can view your EFT Profile Name at any time in Financial Manager.

1 On the EFT's Summary page, select the [My EFT Profile] tab. This will open the **My EFT Profile page**, where your EFT Profile Name will display. You cannot change your EFT Profile Name.

Edit EFT Profile Password

Once you've created an EFT profile, you can change your EFT Password at any time in Financial Manager.

1 On the EFT's <u>My EFT Profile page</u>, select the change password hyperlink.

ELECTRONIC FUNDS TRANSFER - ******432

IP Firm's Favorite EFT

| | Summary | My EFT Profile | Users | Administrative History |

Required fields *

A unique EFT Profile Name and associated Password are required when using a stored EFT to make a payment at USPTO. A unique EFT Profile Name is specific to each EFT you are associated to as a Fee Payer - if you are associated with more than one EFT, you must create a unique EFT Profile Name for each EFT. The EFT Profile Name cannot be modified after it is saved.

My EFT Profile Name

EFT Profile Name   MARILYNB

My EFT Password

Password   change password

2 In the Password field, enter your new EFT password. The password must be between six and eight characters and it must contain at least one letter and one number (A-Z, a-a, 0-9, !, @, #, $, %, ^, *, (,), _, +, -, =).

My EFT Password

Password *

Must be between six and eight characters.
Must contain at least one letter and one number.
Acceptable special characters: !@#$%^*()_+-=
Cannot match Profile Name.

Confirm Password *

3 Confirm your new password by retyping it in the Confirm Password field.

Update EFT Password   Cancel

4 Select the Update EFT Password button. This will reload the My EFT Profile page, where success message will indicate that you've successfully modified your password for the EFT.

View Deposit Account Access Code

The deposit account access code is a four digit security credential that is required by some USPTO storefronts to submit a payment using a deposit account. Once all USPTO storefronts are fully integrated into the new payment process, the deposit account access code will be retired. There is only one access code per deposit account, so all Fee Payers must share the code. Only an Administrator for the deposit account can update the access code. Fee Payers may view the access code. Users without these permissions cannot view the access code.

1 From the deposit account Summary page, select the [Access Code] tab. This will open the **Deposit Account Access Code page**, where your access code will display, as in the example below.

DEPOSIT ACCOUNT - 703409

IP Firm's Favorite DA

Summary | Access Code

Deposit Account Access Code

The Deposit Account Access Code is a four-digit code required to make a payment using the deposit account. There will only be one Access Code per deposit account, so all deposit account Fee Payers must share the code. Only an Administrator can change the Access Code, but other users of the deposit account should be made aware of the change.

Access Code   9999

PART FIVE

I'm a Reporter.
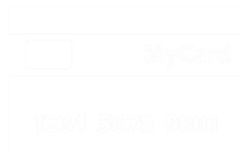
What do I need to know?

The Reporter Role

In Financial Manager, a Reporter for a given stored payment method can:

- View the basic administrative details of the stored payment method and
- Develop, view, and download reports about transactions associated with the stored payment method.

View Administrative Details

Payment Method Administrative Details

Payment method details are displayed in the left column of the Summary page for each of your stored payment methods. Learn more about payment method details. The Summary page is the only page/tab available to users with Reporter only access to the stored payment method in Financial Manager.

Develop, View, and Download Transaction Reports

Recent Transactions, Transaction Reports, and Monthly Statements

View Recent Transactions

Recent transactions for your stored payment method are displayed in a table on the payment method Summary page. It displays the 20 most recent transactions completed within the past 30 days. You can sort and apply filters to this table to help you find specific transactions.

The Recent Transactions table includes the following information for each transaction:

- Date Posted
- Status
- Attorney Docket #
- Total Credit / Total Debit (deposit accounts only)
- Transaction ID
- Total Payment / Total Refund (credit/debit cards and EFTs only)
- Type (e.g. payment, refund, etc.)

For more information about a specific transaction, you may select a hyperlink in the **Transaction ID** column to view transaction details.

Search for a Transaction / View Transaction Report

1 From any page in Financial Manager, select "Transaction Search," located in Financial Manager drop down of the menu main navigation menu. This will take you the Transaction Search form.
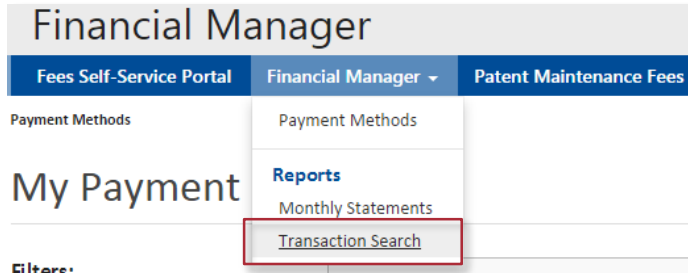
2 Complete the Transaction Search form, indicating what payment method you'd like to run a report for, the date range you'd like to view, and additional identifying details to help narrow your search.

Payment Method

Use the dropdown menu to select the stored payment method. You can only generate transaction reports on payment methods for which you are a Reporter. Reports are not available for deleted stored payment methods.

Date Range

Manually enter the date in MM/DD/YY format or use the dropdown menu to select the earliest and most recent dates you'd like to view. You can run reports on transactions conducted within the last eight years.

Transaction Type

Use the drop down menu to select which types of transactions you'd like to view. Details about transaction types available for each stored payment method type are available in the Appendix.

Transaction ID

If you are looking for a specific transaction, you can enter the Transaction ID provided on the transaction receipt.

Payment Method and **Date Range** are required fields for all transaction searches.

Optional search fields can help you narrow your search even further.

Transaction Amount

Enter the dollar amount of the transaction you are looking for, if you know the exact amount.

Attorney Docket

Enter the Attorney Docket Number you created to tag the transaction. An Attorney Docket Number is a reference text of up to 25 alphanumeric characters that many organizations use to label transactions and reconcile accounts. It can be any combination of numbers, letters, and spaces.

> The following fields only become active if you are a searching for a "Payment" transaction type. This information can be found in the receipt you received after completing the transaction.

Sale Item Reference

Enter the USPTO supplied identifier, such as Patent Application Number, Trademark Registration Number, Trademark Serial Number, etc.

Sale ID

Enter the sale ID number for the fee paid in the transaction.

Fee Code

Enter the fee code for the fee paid in the transaction. If you paid multiple fees in the same transaction, you may enter the fee code for any one of the fees paid.

Item Total

Enter the exact amount paid for one of the fees paid within the transaction.

Customer Name

Use the dropdown menu to select the customer that completed the transaction. The dropdown menu will display the names of all Fee Payers who completed payment transactions while signed in during the specified date range.

3   Select the **Generate Report** button. This will take you to the **Transaction Search Results page**, where all transactions meeting your criteria will display as expandable items within the table. You can sort this table and select the transaction ID to and view transaction details.

DEPOSIT ACCOUNT -

IP Firm's Favorite DA

DATE RANGE   TRANSACTION TYPE
01/01/2016 to   All
01/14/2016

> On the Transaction Search Results page, you can select the ⊞ button to view additional details about each transaction.

Date Posted	Attorney Docket #	Status	Transaction ID	Type	Total Credit (+) / Total Debit (-)	⊞⊟
01/08/2016		Processed	010816INTMTFEE0000016703409	Payment	($880.00)	⊟

Sale Item Reference #	Attorney Docket #	Status	Sale ID	Fee Code	Item Price	Qty	Item Total
8127398		Processed	010816INTMTFEE00000016	2551	$800.00	1	$800.00
8127398		Processed	010816INTMTFEE00000016	2554	$80.00	1	$80.00

Date Posted	Attorney Docket #	Status	Transaction ID	Type	Total	
01/07/2016	REPLENISHMENT 3	Processed	010716SITFNMGR12364100	Replenishment	$5,000.00	⊟

*These funds were replenished from EFT ******432.*

01/07/2016	MTC. FEE PYMNT. 1	Processed	010716INTMTFEE00000346703409	Payment	($1,760.00)	⊞

View Monthly Statements

Monthly statements outline all USPTO transactions completed with your stored payment within a given month. There are two ways to access your monthly statement:

From any Financial Manager Screen:

1 From any page in Financial Manager, select "Monthly Statements," located in the <u>Financial Manager menu</u>. This will take you to the **Monthly Statements form**.
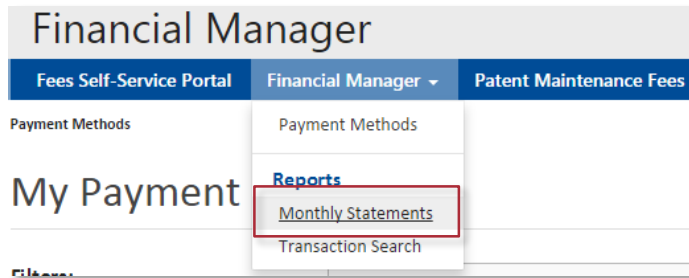
2 Complete the Monthly Statements form to indicate the payment method and month/year you'd like to view.

Payment Method
Use the dropdown menu to select the payment method. You will be able to select any stored payment method for which you are a Reporter.

Month/Year
Use the dropdown menu to select the month/year you'd like to view. You can retrieve statements for any month within the past eight years.

3 Select the [Generate Report] button. This will take you to the monthly statement for the payment method and month/year you requested. All transactions completed within that period will display as <u>expandable items within the table</u>.

You can <u>sort</u> and <u>apply filters to the monthly statement</u> to help you find specific transactions.

From the stored payment method's <u>Summary page:</u>

1 Select the [view monthly statement] button in the upper right corner of the screen. This will take you to the the stored payment method's monthy statement for the previous month.

Understanding Your Monthly Statement

a   The **statement month** dropdown menu allows you to change which month's statement you are viewing.

b   The **Date Range** explains which dates are included in the report you are viewing.

c   The **Total Credits/Refunds** and **Total Debits/Payments** fields indicate how much money has been added (credits/refunds) or deducted from (debits/payments) the account during the monthly period. For EFTs and credit/debit cards, this will display as total payments and refunds.

d   The **Opening Balance and Closing Balance** (deposit accounts only) indicate the account balance at the beginning of the month (opening) and the end of the month (closing). The opening balance is available on the fourth business day of the same month. The closing balance is available on the fourth business day of the next month.

e   The **Select a filter** dropdown menu allows you to apply up to three filters to the monthly statements.

f   If you apply filters to your monthly statement, they will display in the **filter boxes**.

Download Transaction Reports and Monthly Statements

In Financial Manager, you can download transaction reports or monthly statements as a PDF, Excel, or CSV file. Three buttons at the top right of the transaction report or monthly statement provide these options.
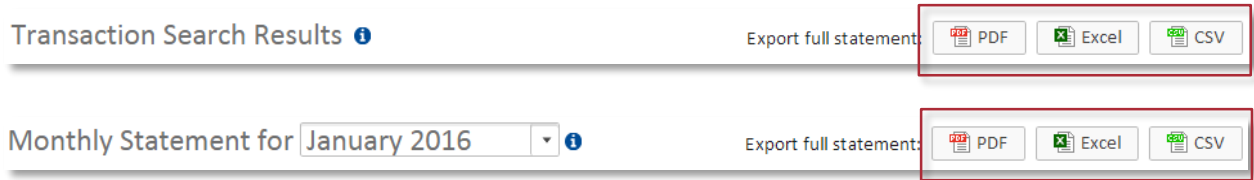
1 To download the transaction report or monthly statement, select the button that corresponds with the type of file you'd like to download. The download will begin automatically.

View Transaction Details Page

Transaction detail pages provide detailed information about items paid for within a single transaction.

1 From your stored payment method's recent transactions, transaction report, or monthly statement, select the Transaction ID hyperlink that corresponds with the transaction you'd like to view. This will take you to the Transaction Details page.

Understanding the Transaction Details Page

Transaction Details ℹ

DEPOSIT ACCOUNT - ▮▮▮▮

IP Firm's Favorite DA

a

TYPE	DATE POSTED	STATUS	TRANSACTION ID	TOTAL CREDIT (+) / TOTAL DEBIT (-)
Payment	01/07/2016	Processed	010716INTMTFEE00000346703409	($1,760.00)

b

Sale Item Reference # ▲	Attorney Docket #	Status	Sale ID	Fee Code	Qty	Item Price	Item Total	Customer
8127397	MTC. FEE PYMNT. 1	Processed	010716INTMTFEE00000346	1551	1	$1,600.00	$1,600.00	Mark Trade
8127397	MTC. FEE PYMNT. 1	Processed	010716INTMTFEE00000346	1554	1	$160.00	$160.00	Mark Trade

a The Transactions Details page includes the following information for **each transaction**:

- Date Posted
- Total Payment / Refund (deposit accounts only)
- Transaction ID
- Total Credit / Total Debit (credit/debit cards and EFTs only)
- Status
- Type (e.g. payment, refund, etc.)

b The Transactions Details page includes the following information for **each fee paid**:

- Sale Item Reference #
- Fee Code
- Customer Name
- Attorney Docket #
- Quantity
- Status
- Item Price
- Sale ID
- Item Total

PART SIX

I'm a Funds Manager.

What do I need to know?

The Funds Manager Role

The Funds Manager role is available for deposit accounts only. In Financial Manager, a Funds Manager for a deposit account can:

- View the basic administrative details of the deposit account,
- Add funds to the deposit account (including funds transfers between two deposit accounts), and
- Withdraw funds from the deposit account.

View Administrative Details

Payment Method Administrative Details

Payment method details are displayed in the left column of the Summary page for each of your stored payment methods. Learn more about payment method details.

Add Funds to a Deposit Account

Replenish a Deposit Account

The Replenish Funds feature allows you to transfer funds to your deposit account from an EFT or another deposit account. If you wish to process a deposit account transfer, you must initiate a replenishment for the deposit account you are transferring funds to.

1 On the deposit account's Summary page, select the ⌗Manage Funds⌗ tab. This will open the Replenish Funds page (if you also have Administrator permission, you will land on the Manage Withdrawal Options page instead).
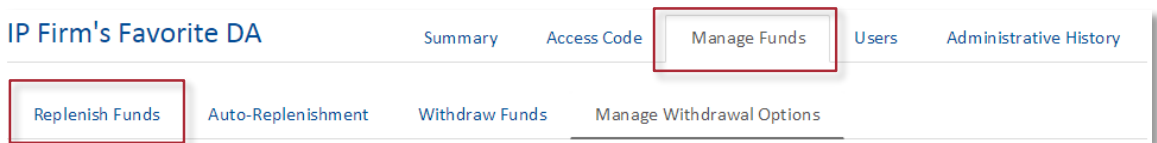
2 Select the "Replenish Funds" tab if you were not automatically directed there.

3 Complete the Replenish Funds form to indicate how much you'd like to add to the deposit account and what source you'd like to use to replenish the funds.

Replenish funds from
Use the dropdown menu to select the funding source you'd like to use to replenish your deposit account. Your choices will be listed by nickname.

> You must have Fee Payer permission on the EFT or other deposit account in order to select it as a source of funds for your replenishment.
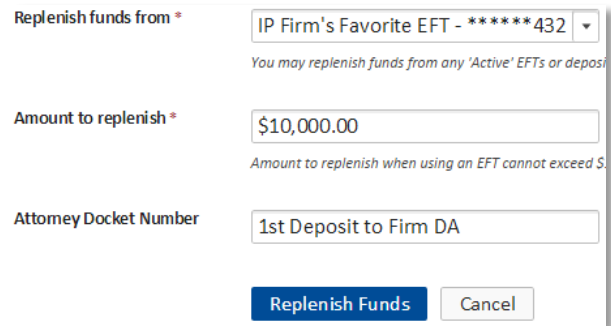
Amount to replenish

Enter the amount of money (USD) you'd like to add to the deposit account.

Attorney Docket Number

You may choose to enter an Attorney Docket Number. This is a reference text of up to 25 alphanumeric characters that many organizations use to label transactions and reconcile accounts. It can be any combination of numbers, letters, and spaces.

4 Select the **Replenish Funds** button to complete the transaction. This will take you to the deposit account's Summary page, where a success message will indicate that your replenishment was successfully submitted. You will also receive an email notification from Financial Manager.

Replenish funds from *	IP Firm's Favorite EFT - ******432 ▾
	You may replenish funds from any 'Active' EFTs or deposit
Amount to replenish *	$10,000.00
	Amount to replenish when using an EFT cannot exceed $
Attorney Docket Number	1st Deposit to Firm DA

Replenish Funds   Cancel

The amount of time it takes for the replenishment to post to your deposit account depends on the funding source you use to add funds to your deposit account. Please visit the Appendix to learn more about deposit account replenishment processing time.

Set Up and Modify Deposit Account Auto-Replenishment

The Auto-Replenishment feature allows you to set up automatic transfer of funds from an EFT to your deposit account. Financial Manager will check deposit account balances once per day and replenish deposit accounts using this feature when the balance is below the customer defined threshold.

1 On the deposit account's <u>Summary page</u>, select the "Manage Funds" tab. This will open the Replenish Funds page (if you also have Administrator permission, you will land on the Manage Withdrawal Options page instead).

DEPOSIT ACCOUNT -

IP Firm's Favorite DA   Summary   Access Code   **Manage Funds**   Users   Administrative History

Replenish Funds   Auto-Replenishment   Withdraw Funds   Manage Withdrawal Options
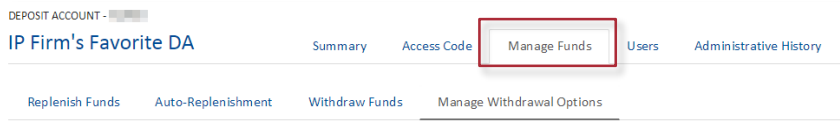
2 Select the   Auto-Replenishment   sub header. This will open the Auto-Replenishment form.

Auto-Replenishment   **Modify Auto-Replenishment**

Approved for use through 1/31/2018. OMB 0651-0043.

Automatic replenishments may be set-up or cancelled by a Funds Manager. Customers must specify an amount to charge an Active stored EFT when the deposit account balance is at or below a customer defined threshold. Financial Manager checks deposit account balances once per day and will replenish deposit accounts at or below the defined threshold during this time. If you need an immediate replenishment, please replenish via the 'Replenish Funds' tab.

Disclaimer: USPTO cannot guarantee that automatic replenishments will post before the close of business at month end. Customers should closely monitor their deposit account balance on the last business day of each month and should process a manual replenishment if there is any risk of incurring a $25.00 service charge due to low balance.

3 Select the   **Modify Auto-Replenishment**   button. This will activate the Auto-replenishment toggle button.

Auto-replenishments *   OFF

4 Select the   OFF   button to toggle on the Auto-Replenishment option. Once the button is in the "ON" position, subsequent form fields will become active.

5 Complete the Auto-Replenishment form, indicating your desired replenishment threshold, replenishment amount, and source.

Balance threshold *	10,000.00
	Auto-replenishment occurs once per day if the deposit account balance is below this amount.
Replenish Funds From *	IP Firm's EFT - ******432
	You may replenish funds from any 'Active' EFT for which you have been assigned the Fee Payer permission.
Amount to Auto-replenish *	5,000.00
	Amount to replenish when using an EFT cannot exceed $100,000,00.
Attorney Docket Number	Auto Replenishment 123
	Attorney Docket Number to be recorded on each auto-replenishment.

6 Read and check the box to authorize the USPTO to debit your EFT as instructed and agree to the USPTO's Auto-Replenishment policy.

Authorization * ☐ I authorize the USPTO to initiate debit entries and to initiate, if necessary, credit entries and adjustments for any debit entries in error to my EFT account selected above (and to credit and/or debit the same to my USPTO deposit account named above) in the amount I have authorized each time the deposit account falls at or below the balance specified above. In the event a payment is refused by my financial institution for any reason, I agree the $50.00 processing fee under 37 CFR 1.21(m) will be charged to my deposit account named above. This authority is to remain in full force and effect until I (or another authorized Funds Manager on this deposit account) have turned off this auto-replenishment feature within the Financial Manager application.

7 Select the Save Changes button.

Withdraw Funds From Deposit Accounts

The Withdraw Funds feature allows you to withdraw funds from a deposit account when this feature is enabled by an Administrator. The funds may be returned via an EFT or mailed check depending on the options selected by the Administrator.

> Funds may not be immediately available for withdrawal. There is a holding period of 14 business days for EFT replenishments and 30 business days for check replenishments before those funds are available for withdrawal.

1 From the deposit account Summary page, select the Manage Funds tab. Then select the Withdraw Funds tab.

DEPOSIT ACCOUNT -

IP Firm's Favorite DA   Summary   Access Code   **Manage Funds**   Users   Administrative History

Replenish Funds   Auto-Replenishment   **Withdraw Funds**   Manage Withdrawal Options

2 On the Withdraw Funds page, complete the form to indicate how much you'd like to withdraw and how you want to receive the funds.

Withdraw To   ◉ EFT
              ○ Mailed Check

Select EFT *   IP Firm's EFT   ▼
You may transfer funds to any 'Active' EFT to which you have been assigned the Fee Payer permission.

Withdrawal Amount * $100.00   Maximum available: $516,975.00
Amount to withdraw cannot exceed $999,999.99 per transaction.

[Withdraw Funds]   [Cancel]

Withdraw To

If you chose to withdraw funds to an EFT account stored in Financial Manager, you will be able to select the EFT you'd like the funds to be delivered to. If you'd like the funds to be returned via mailed check, it will be sent to the Correspondence Address on file. Administrators for the deposit account can turn on/off the option to withdraw funds from the deposit account via electronic funds transfer (EFT) and/or Mailed Check. If you do not have the options shown below and need to make a withdrawal, you will need to contact an Administrator of the Deposit Account to update the withdrawal options.

Select EFT

Use the dropdown menu to select the EFT you'd like your withdrawal delivered to. You can only send funds to an EFT for which you are a Fee Payer. This field only displays if an Administrator has enabled withdrawals via EFT.

Withdrawal Amount

Enter the amount you'd like to withdraw from the deposit account.

Maximum Available

The maximum available to withdraw from the selected deposit account is the available balance of the deposit account less $25.00 and less any EFT replenishment received within the past 14 business days and/or any check replenishment received within the past 30 business days. You cannot withdraw your account down to zero without going through the closure process.

3 Select the **Withdraw Funds** button. This will refresh the Withdraw Funds page, where a success message will indicate you've successfully submitted the withdrawal request.

PART SEVEN

Appendix

Stored Payment Method Status Definitions

Status	Applicable Payment Methods	Definition
Active	All	Your stored payment method is in good standing and can be used to make payments.
Active – Low Balance	Deposit Account Only	Your deposit account has fallen below the required minimum balance, $1000.00 for unrestricted deposit accounts and $300.00 for restricted deposit accounts. If the deposit account is below the required minimum balance on the last day of the month, the deposit account will incur a $25.00 service charge. The deposit account will continue to incur a $25 service charge each month until the balance is drawn down to $0 or until the account is replenished with enough funds to reach the minimum required balance at month end.
Active – No Recent Activity	Deposit Account Only	Your deposit account has not been used in the past year. It will be closed in 60 days unless a transaction is posted against the Deposit Account within 30 days of entering Active – No Recent Activity status or the Deposit Account is reactivated by an Administrator within 60 days. If your deposit account is closed automatically, a check for the remaining balance will be mailed to your correspondence address.
Active – Unfunded	Deposit Account Only	Your deposit account has a balance of $0. This may be because your deposit account was recently created, but not funded or because your funds have been depleted. You have 45 days from entering Active – Unfunded status to replenish your deposit account or it will close automatically.
Closed – Customer Request	Deposit Account Only	Your deposit account has been closed by an Administrator of the deposit account.
Closed – No Recent Activity	Deposit Account Only	Your deposit account has not been used in the past year. No action was taken to retain it during the 60 day grace period and it was closed automatically. A check for the remaining balance has been mailed to your correspondence address.

Status	Applicable Payment Methods	Definition
Closed – Unfunded	Deposit Account Only	Your deposit account was not funded within 45 days of the balance falling to $0, so it was closed automatically.
Expired	Credit/Debit Card Only	Your credit/debit card has expired. One of your Administrators will need to update the expiration date for the card.
Failed Authentication	EFT Accounts Only	Your EFT failed authentication with the Department of the Treasury. Delete the failed EFT from your profile, contact your bank to confirm your account information and initiate the process to add a new EFT with corrected information.
Finance Inactivated	All	Your stored payment method has been inactivated by USPTO's Finance Group.
Pending Authentication	EFT Accounts Only	Your EFT has been submitted to the Department of the Treasury for authentication. The authentication process takes 8 business days. When the authentication process is complete, you will receive an email notification and the status of the EFT will be updated in Financial Manager.
Pending Closure – Customer Request	Deposit Account Only	An Administrator for this deposit account requested to have it closed. It can no longer be used to make payments unless an Administrator reactivates it. The pending closure period is 30 days from the date that the last transaction posted against the account. During this time, an Administrator may reactivate the deposit account.
Pending Closure – No Recent Activity	Deposit Account Only	The deposit account has been inactive for one year and 30 days. The deposit account will automatically close after 30 days of entering status Pending Closure – No Recent Activity unless an Administrator chooses to reactivate the deposit account.

Status	Applicable Payment Methods	Definition
Returned Payment	EFT Accounts Only	A payment associated with your EFT has been returned by your bank. This EFT cannot be used to make payments until this matter is resolved.

Transacation Types Available in Transaction Search Reports

Credit/Debit Card
- Payment
- Refund

Electronic Funds Tansfer (EFT)
- Payment
- Refund
- Credit To Deposit Account (Replenishment)
- Credit From Deposit Account (Withdrawal)

Deposit Account
- Payment
- Refund
- Replenishment
- Withdrawal

USPTO Shopping Cart Services

The following UPSTO storefronts offer shopping cart services:

- Patent Maintenance Fees Storefront

Deposit Account Replenishment Time

The processing time for deposit account replenishments varies depending on the replenishment method.

EFT Replenishment
EFT replenishments are posted near real-time when an active EFT is used. Check again in a few minutes.

Transfer from another Deposit Account
A transfer from another deposit account is posted near real-time when an active deposit account is used. Check again in a few minutes.

Wire Transfers

The USPTO must receive funds by noon Eastern Time to be credited on the same business day and available in your deposit account.

Mailed Check

After the USPTO receives your check, it generally takes 2-3 business days for the payment to be credited and available in your deposit account.

Intra-Governmental Payment and Collection (IPAC) system (Federal Agencies Only)

IPAC payments are generally credited and available in your Deposit Account within 2-3 business days.

Contact Us

We'd love to hear from you! Your questions and comments about Financial Manager help us make improvements that enhance your online fee payment experience.

- For **more information** on Financial Manager, visit us online at www.uspto.gov/financialmanager.

- For **technical support or questions** about Financial Manager, give us a call or send us an email.

    o Toll Free: 800-786-9199

    o Local: 571-272-1000

    o TTY: 800-877-8339

    o Email: FeesHelp@uspto.gov

- To **share comments or feedback** about Financial Manager, send us an email at FeesHelp@uspto.gov.